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ABSTRACT

A March 1985 survey of members of the Association of Research Libraries (ARL) netted 63 responses on 4 topics related to gifts and exchange programs: organizational change, the use of automation, changes in priorities, and the impact of the Tax Reform Act of 1984. Comments throughout the responses reflect that materials collected through gifts and exchange are still considered important, although libraries are attempting to identify ways to obtain the most value from these programs for a reasonable commitment of resources. This Systems and Procedures Exchange Center (SPEC) kit contains 11 examples of policies and procedures, including recent documents on the Tax Reform Act; 2 documents on use of automation; 8 responses regarding reorganizations; 4 sets of position descriptions; 5 illustrations of donor materials; results of an unpublished American Library Association (ALA) Resources and Technical Services Division (RTSD) survey; and a brief bibliography. Institutions represented in the kit include: University of Kentucky, University of California at San Diego, Cornell University, University of California at Berkeley, Colorado State University, Purdue University, University of Texas at Austin, State University of New York at Albany, Texas A&M University, New York University, Columbia University, University of California at Irvine, Linda Hall Library, University of North Carolina, National Agricultural Library, Queens University, Indiana University, University of Georgia, and University of Southern California. A brief summary of survey responses and a copy of the "Quick-SPEC" questionnaire on gifts and exchange functions are included. (THC)

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THE GIFTS AND EXCHANGE FUNCTION IN ARL LIBRARIES

ISSN 0160 3574

Gifts and exchange programs operate at some level in virtually all ARL libraries. During the nine years since the last SPEC Kit on Gifts and Exchange (#28, August 1976), substantial changes have occurred in both procedures and policies: Libraries have revised staffing patterns, redefined responsibilities, responded to seemingly significant changes in the tax laws, and introduced some automation.

A March 1985 Quick-SPEC survey of ARL libraries netted 63 responses on four topics: organizational change, the use of automation, changes in priorities, and the impact of the Tax Reform Act of 1984. Comments throughout the responses reflect that materials collected through gifts and exchange are still considered important, although libraries are attempting to identify ways to obtain the most value from these programs for a reasonable commitment of resources.

ORGANIZATIONAL CHANGE. The gifts and/or exchange unit, like many other units, has not been exempt from changes in staffing patterns. Those survey respondents reporting on organizational change indicated that for the most part, separately-defined units or departments have been relocated to report to acquisitions, serials, or collection development. In some cases, a separate unit has been disbanded, and the job functions either eliminated or reassigned. For example, exchange functions formerly integrated with gifts were redefined as logical extensions of the role of the collection development or serials acquisitions specialist. Gifts -- from the solicited special collection to the unsolicited donation -- also were incorporated into collection development or acquisitions.

Six libraries noted that the gifts or gifts/exchange librarian position has been eliminated and replaced with a high-level support staff position with processing, distributing, and managing responsibilities. Twenty-one libraries reported some change in the number of positions assigned to gifts and exchange: two libraries had increased staff, while the others had reduced FTE. Some libraries indicated that responsibilities for arranging exchanges, accepting gifts, and making collection addition decisions have been distributed to other librarians with broader job definitions. In a few instances, the gifts/exchange librarian position has been redefined to include collection development, cataloging, or acquisitions responsibilities. There also were a few instances reported where all positions assigned to these tasks have been eliminated and the gifts and exchange functions assigned such a low priority that there was little, if any, activity.

USE OF AUTOMATION. A number of ARL libraries reported experimenting with automating all or parts of gifts and exchange processes. Twenty-three libraries noted that some automation was accomplished as part of a larger system, three were in the planning stages, and 10 were developing or using some level of standalone automation for controlling mailing lists, exchange lists, or gifts inventories. Among larger systems, libraries mentioned both vendor-supported systems and bibliographic utilities. Since gifts and exchange does not seem to be a priority area for automation, little is yet known about its value and cost-benefit.

ENVIRONMENTAL ISSUES. Exchange programs have been seen as a standard method for obtaining materials from the Third World and other areas where purchasing materials has been difficult. However, sources for materials which traditionally have been used to support exchange agreements have been disappearing. Locally written and published serials have ceased or are no longer provided free. Some university presses have changed their policies of providing free or discounted materials for use in exchange programs, in order to balance their own budgets. Several respondents noted that the disappearance of these sources of support could greatly affect the ability of libraries to maintain cost-effective exchange programs, and at least two libraries indicated their intent to review programs in light of this changed environment.

Strong competition for shorter print runs of domestic materials has caused collection specialists and acquisitions staff to find ways to identify and incorporate gifts with recent imprints into the acquisitions process. Gifts of review copies can help stretch materials budgets, if they can be processed promptly and if the costs of doing so are not more than the standard acquisition of the items. A few respondents reported entering some categories of gifts into an online file that linked with the acquisitions in-process file, presumably to forestall purchasing titles received as gifts. However, the costs of creating such an automated capability must be weighed against the costs of the number of duplicates that may actually be involved.

IMPLICATIONS OF THE TAX REFORM ACT OF 1984. On the surface, the Tax Reform Act seems to have far-reaching implications for the gifts operations in ARL libraries. The temporary regulations have received various interpretations from legal departments within institutions which have been handed down to the libraries as either guidelines or policies. The greatest concern is linked to the requirement to track component parts of a gift which is valued at over \$5,000 and which can be made to more than one institution during the course of a year. Most libraries have given up the role of evaluating gifts collections as a matter of policy, and they have not welcomed the new requirement to keep records of outside evaluations, taxpayer identification numbers, and comprehensive gift lists. They also have perceived a possible requirement to store these gifts for up to two years before being able to use or dispose of them. Although the penalty for non-compliance is small (\$50), it is unclear whether it will be applied once to each gift collection or to each item within the collection. There are further concerns and questions linked to interpreting whether an outside appraiser retained by the institution is an employee, and therefore disqualified from appraising a collection. This has resulted in a scramble to rewrite gift policies and procedures to accommodate the Act without eliminating the benefits received from gift collections.

TRENDS. As long as the benefits of gifts and exchange programs are perceived to outweigh their costs, these operations will claim library support. Although gifts and exchanges traditionally have been considered a rich resource for research library collections, shortages of some exchange materials and stricter tax laws seem to be increasing the difficulties of maintaining some programs at past levels. At institutions where gifts and exchange programs are able to regularly and selectively acquire valuable additions, their importance remains high. However, in cases where the library is a passive recipient of gifts or exchange materials, the programs become time-consuming and costly.

The SPEC Kit on the Gifts and Exchange Function (#117, September 1985) contains 11 examples of policies and procedures, including recent documents on the Tax Reform Act; two documents on use of automation; eight responses regarding reorganizations; four sets of position descriptions; five illustrations of donor materials; results of an unpublished RTSD survey; and a brief bibliography. SPEC Kits are available mainly by subscription from: SPEC Center, Office of Management Studies, ARL, 1527 New Hampshire Ave., N.W., Washington, D.C. 20036. Individual kits are available for \$20.00, with prepayment required. Outside the U.S. and Canada, add \$5.00 per order for parcel post shipping. ARL library members receive kits for \$10.00.

This flyer/kit was prepared by Julieanne V. Nilson, Head,
Acquisitions Department, Indiana University Libraries,
as part of the OMS Collaborative Research Writing Program.

USES OF SPEC KITS

The Systems and Procedures Exchange Center (SPEC) is a clearinghouse operated by the Association of Research Libraries, Office of Management Studies that provides a central source of timely information and materials on the management and operations of large academic and research libraries. It facilitates the exchange of knowledge and documents through SPEC Kits, which are distributed ten times each year to ARL members and other interested libraries. The Kits include topically-arranged groupings of unedited primary source documents - selected for their value to administrators and decision-makers - that illustrate a wide range of alternative approaches to specific issues.

Kit documents come from general membership surveys and from selected libraries contacted directly by SPEC, and most Kits are produced within six months of surveys. The documents' value comes from their variety of ideas, methods, and solutions. They are not viewed as finished products, but rather as points of departure for a library's planning efforts and as stimulants to innovative approaches to problem-solving. As such, Kits do not present answers or prescriptions for any one library; instead they illustrate how selected ARL members are planning for or dealing with particular issues. The worth of any one Kit to a particular library will depend upon the specific topic covered and the library's stage of development in that area.

Materials are selected according to the following criteria:

- Presents an approach of potential value to administrators and decision-makers
- Timely, and dealing directly with the topic under consideration
- Probability of application of ideas or thinking to other library situations
- Illustrative of actual practice, rather than theoretical
- Understandable, readable communication

All together, the materials should provide a range of alternative approaches that complement each other, provide variety, and stimulate comparison and contrast.

Libraries can take advantage of the Kit compilations in a number of ways. Administrators can evaluate the assumptions, methods, and results of other libraries' approaches; compare and contrast them; and use the learnings in their own situations. Library staff members can use the kits as professional development and current awareness tools. Committees and task forces can use them to begin a review of current practices. And the Kits can identify other persons or places to contact for further information. Back-up files in the SPEC office also are available for loan to member libraries. In addition, SPEC will conduct on-demand surveys or analyses geared specifically for a single library.

EVALUATION

Kit Title/Number _____

1. Which uses did the library make of this Kit?

2. Please indicate how useful the Kit was for these purposes.

☐ Very Useful ☐ Quite Useful ☐ Somewhat Useful ☐ Not Useful

3. Do you have suggestions for this Kit or for future Kits?

(optional)

NAME _____

LIBRARY _____

PHONE _____

Please return this form to the SPEC Center, OMS/ARL, 1527 New Hampshire Ave., N.W., Washington, DC 20036.

THE GIFTS AND EXCHANGE FUNCTION IN ARL LIBRARIES
KIT AND FLYER #117 -- SEPTEMBER 1985
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MARCH 8, 1985

QUICK-SPEC ON GIFTS AND EXCHANGES FUNCTIONS

A SPEC Kit on Gifts and Exchanges is being prepared for Summer 1985 publication. The last kit on this subject in 1976 included policy statements, procedures documents, and position descriptions. The new kit will focus on changes that have occurred in this segment of library acquisitions and collection development during the past nine years. Of particular interest are those areas addressed in the questions below.

* * *

NAME _____

LIBRARY/INSTITUTION _____

PHONE _____

1. Briefly describe organizational changes in your gifts and exchanges operations since 1976. For example, have there been mergers with other departments, such as acquisitions, collection development? Has staffing been reduced? Enclose documents illustrating changes, such as plans, committee reports, job descriptions, organization charts, annual reports.

2. Is your library using automation to support gifts and exchanges operations?

Yes, as part of larger system

Yes, as standalone system

No

Gifts

Exchanges

Briefly describe automation changes or include supporting documents such as plans, committee reports, annual reports, and sections of training and procedures manuals related to gifts and exchanges operations.

3. In the context of declining materials budgets and shorter print runs, have the priorities and purposes of gifts and exchanges programs changed in the past nine years? _____ yes _____ no

Briefly describe or enclose supporting documents such as budget documents, long-range planning materials.

4. Has the Tax Reform Act of 1984 (PL 98-369) caused your university to issue new guidelines for the acceptance, evaluation, and recording-keeping for gifts that will affect gift policies? _____ yes _____ no

If yes, provide a copy of those guidelines and policies.

USE THE BACK OF THIS QUESTIONNAIRE FOR ADDITIONAL COMMENTS OR SUGGESTIONS. RETURN YOUR RESPONSES AND DOCUMENTS WITHIN TWO WEEKS OF RECEIPT DIRECTLY TO: Julieann V. Nilson, Head Acquisitions Department, The University Libraries, Indiana University, Bloomington, Indiana 47405. PHONE 812 335-1666.

UNIVERSITY OF KENTUCKY LIBRARIES

LEXINGTON, KENTUCKY 40506

COLLECTION DEVELOPMENT

Wednesday: 3 April 1985.

M e m o r a n d u m .

TO: Branch Librarians
FROM: Jim Birchfield / 7-8408
RE: Revised Gift Policy

Enclosed you will find revised guidelines for our policy on acknowledging gifts to the libraries.

Changes are the result of the 1984 Tax Reform Act, which impacts our disposition of gift items, makes appraisal more sensitive than in the past, and requires independent appraisal of gifts totalling over \$5,000.

If you have questions or need further information, please give us a call.

cc: Ruth Brown
John Brown
Michael Lach
Paul Willis

Guidelines for Gifts

1. Gifts are encouraged with the understanding that the university libraries will dispose of anything not needed for the collection.
2. All gifts to the library are acknowledged (not necessarily valued) unless the donor requests otherwise.
3. The Gifts & Exchange Division, Collection Development Department, will coordinate procedures for receiving, adding or disposing of gift materials and serve as a clearinghouse for questions relating to gifts.
4. Appraisal of donated materials for tax or other purposes is properly the responsibility of the donor and is governed by the Tax Reform Act of 1984, effective 1 January 1985. Upon request, however, the libraries will provide a conservative estimate of the value of routine donated material. Valuations of unusual antiquarian or other items will be provided where documented sales records or other evidence of market worth can be produced from dealers' catalogs, American Book Prices Current, Book Auction Records, Bookman's Price Index or other sources.
5. Where appropriate, donors will be provided a copy of relevant passages from IRS Pamphlet 561, explaining tax aspects of donated property.
6. Where materials are subject to appraisal (by the library, the donor or an independent appraiser) for tax purposes, they will be retained by the library for a minimum of two years.
7. Storage of unadded gifts will be carried out by Gifts and Exchange, Collection Development, unless other arrangements are made.
8. All gift items must be labeled either individually or on the storage box to show name of donor and date of gift.
9. At the end of the two-year period, unadded items will be removed from storage and will be processed as in the past for the annual book sale, exchange or discard.
10. New IRS policies require more sensitive standards of appraisal, and valuation gifts of \$5,000 or more must be carried out by a "qualified" appraiser (essentially, a disinterested expert).
11. The Tax Reform Act also provides costly penalties for over-appraisal of in-kind gifts. It is therefore important that we maintain very conservative levels of acknowledgment unless clearly documented sales records or other evidence are provided.
12. All letters acknowledging gifts should be copied for Gifts and Exchange, the Library Associates and the university Development Office. Letters bearing evaluations should be drafted for the Director's signature.
13. Sources of further information on legal aspects of appraisal are "Determining the Value of Donated Property," IRS Publication 561 (Rev. Nov. 1984) and John R. Payne, "A Closer Eye on Appraisals," C&RL News (February 1985), 52-56.

March 1985

UCSD LIBRARIES
Collection Development Policy

Gift Acceptance Guidelines

Since the founding of the University, Library collections have been enriched by generous gifts of books and other materials from members of the University community and the community of San Diego. The Library intends to continue development of its gifts program with the specific aim of enriching research and special collections. In recent years, however, as the Library's core collections have grown, fewer offered gifts have actually been added to the collections. Moreover, in 1983, critical shortages of both staff and processing space led to a change in the Library's gift acceptance policies. Thus, while gifts will continue to find a valued place in the Library's collections, fewer gifts will be accepted for review than in the past.

Guidelines

1. When the Library accepts materials from donors, it is with the understanding that it is acceptance for review; that is, the Library staff review all gifts for suitability for the collection and dispose of unwanted gifts as appropriate, unless other specific arrangements have been made with donors.

Because of changes in the federal tax law regarding gifts and appraisals, donors should be informed of the implications of their gifts through the CUL Acquisitions Department (M. Wilson or J. DePauw). These implications should be discussed early in the negotiation. If the gift appears to be substantial, the Acquisitions Department should be consulted immediately.

2. The Library will ordinarily accept for review gifts offered by faculty members of UCSD. Such gifts have proven to have a high rate of usefulness in the Library. Because of severe space and staff shortages, however, the Library may ask to pre-select needed items from faculty offerings before they are delivered to the Library.
3. All other offerings will be carefully screened before being accepted for review.
4. Acceptance for review of unsolicited and general gifts offered by non-UCSD donors will be very limited:
 - a. Periodicals. Generally, the Library will not accept for review periodicals offered by non-UCSD donors.

- b. Textbooks. Not accepted.
 - c. Trade paperbacks. Not accepted.
 - d. Trade hardbacks. Very limited acceptance for review.
 - e. Scholarly books. Selective acceptance for review.
-
- 5. Donors offering materials in areas of special interest to subject collections and branch libraries will be referred to those units (e.g., Music Collection, Map Collection, Biomedical Library).
 - 6. Receipts providing a count of donations, but not evaluating them, are provided to donors. Copies of these receipts are sent to the UCSD Development Office.
 - 7. Appraisals. According to U.S. tax regulations, the Library cannot appraise gifts for tax purposes. We can provide donors with the names of local professional appraisers. A few local appraisers are:
 - L. McGilvery, P. O. Box 852, La Jolla, CA 92038 (619-454-4443)
 - C. A. Valverde, Wahrenbrock Book Store, 726 Broadway, San Diego, CA 92101
 - J. & J. House, Booksellers, 632 Broadway, San Diego, CA 92101
 - M. Thompson, Michael R. Thompson Rare Books, 1001 Fairfax Avenue, Los Angeles, CA 90046 (213-650-4887)
- For names of other specialized dealers, consult with Lynda Claassen, Head of the Department of Special Collections. All questions regarding appraisals should be coordinated by the CUL Acquisitions Department.
- 8. Donor plates. Gift materials will no longer be routinely plated. Exceptions are: memorial gifts, selected special collections items, and those specifically requested by donors and agreed to by the Library.
 - 9. The Library will assist donors by referring unwanted donations to area public libraries. A list of libraries which are interested in receiving such materials appears on the following page:



Cornell University

OFFICE OF REAL ESTATE AND PROPERTY GIFTS
912 E. STATE STREET
ITHACA, NEW YORK 14850
607 255-3518

RECEIVED

MAR 16 1985

TO: Deans
College Public Affairs Officers
Development Program Directors
Regional Directors

FROM: David Schwartz *DS*

DATE: March 14, 1985

SUBJECT: New Appraisal Requirements for Gifts of Property

Individual donors making gifts of property (real estate, artwork, equipment, book collections, etc.) valued in excess of \$5,000 are required by the Tax Reform Act of 1984 to do two things when they make their gift.

1. THEY MUST OBTAIN AN APPRAISAL.
2. THEY MUST SUBMIT TO CORNELL AN APPRAISAL SUMMARY TO BE SIGNED BY CORNELL AND RETURNED TO THE DONOR FOR ATTACHMENT TO THE DONOR'S INCOME TAX RETURN.

We want to ensure that our donors are aware of these changes. If you know of situations where a donor may not be apprised of these requirements or may not have submitted the appraisal summary to Cornell, I would be pleased to help ensure that they fully understand and comply with these rules.

Why all the fuss? Essentially, the new requirements are an attempt to discourage overvaluations of charitable deductions, something that may be rare at Cornell but has received national attention, particularly in the area of gem, book and art donations. In any event they make property gifts more complicated, more expensive (appraisal fees are tax deductible) and place additional burdens upon charities.

If you have any questions or would like assistance, just give a call. The attached outlines the new requirements.

dmh
attachment
(typed, signed in David Schwartz's absence)
cc: Louise Maynard
Tom Leavitt
Louis Martin ✓
John Majeroni
Gary Leonhardt
Michael Kimberly

NEW APPRAISAL REQUIREMENTS FOR GIFTS OF PROPERTY

Beginning January 1, 1985, donors making charitable gifts of property, (real estate, artwork, equipment, book collections, etc.) other than publicly traded securities, valued in excess of \$5,000 are required to do the following:

1. THEY MUST OBTAIN AN APPRAISAL.
2. THEY MUST SUBMIT TO CORNELL AN APPRAISAL SUMMARY TO BE ACKNOWLEDGED BY CORNELL AND RETURNED TO THE DONOR FOR ATTACHMENT TO THE DONOR'S INCOME TAX RETURN.

Under the Tax Reform Act of 1984 these requirements apply to gifts made by individuals, closely held corporations and partnerships, where the single gift or an aggregate of similar items donated in the same year to one or more donees are valued at \$5,000 or more. One exception is in the case of closely held stock--the value would have to exceed \$10,000 before the new requirements apply.

The appraisal is different from the appraisal summary and each must contain certain specific information:

INFORMATION TO BE INCLUDED IN THE APPRAISAL:

1. Description of property
2. Date of donation
3. The fair market value of the gift and the date of the contribution
4. The method of valuation used to determine the fair market value
5. The specific basis for the valuation
6. Specifically state the appraisal is prepared for tax return purposes
7. Date on which property was valued
8. The appraiser's qualifications, signature, tax ID number, address and social security number
9. Fee arrangement between donor and appraiser
10. The terms of any agreement or understanding concerning the use or disposition of the property

[Appraisals should be made no more than 60 days prior to the date of the donation and in no event after donor's tax return due date (including extensions). Neither the donor nor any Cornell employee can be the appraiser. The fee for the appraisal generally cannot be a flat percentage fee.]

INFORMATION TO BE INCLUDED IN THE APPRAISAL SUMMARY:

1. The substance of the appraisal
2. The manner, date of acquisition and cost basis of the donated property
3. A declaration by the appraiser¹
4. The name, address and taxpayer identification of Cornell and the donor
5. A place for Cornell to sign the summary
6. Signature and tax identification number of qualified appraiser.

Hopefully the IRS will develop a simplified standard form for donors to complete and submit.

¹The declaration states that

- Appraiser holds him/herself out to the public as an appraiser,
- Because of the appraiser's qualifications as described in the appraisal, he or she is qualified to make appraisals of the type of property being valued, and
- He or she understands that a false or fraudulent overstatement of the value of the property described in the qualified appraisal or appraisal summary may subject the appraiser to a civil penalty for aiding and abetting an understatement of tax liability (IRC 6701), and consequently the appraiser may have appraisals disregarded.

CORNELL REPORTING REQUIREMENTS

For all property subject to the new appraisal requirements, Cornell must report the amount received upon a future sale of the property if it is sold within two years of its donation. Our report is sent to the IRS and the donor.

Accordingly, if we anticipate a sale, we must keep track of those gifts for the first two years after their donation. If we overlook this reporting responsibility, we will be subject to a penalty fine by the IRS--presumably \$50/failure. To ensure our compliance, staff, particularly at the Libraries, Museum, the Real Estate Department and the Investment Office having responsibilities for the sale of donated property, will have to remain informed of these reporting requirements and be aware of the period Cornell has held any items of sale. Tracking a property gift for the first two years may be accomplished with existing bookkeeping systems or in some cases with a simple note affixed to the item.

DS/dmh
3/14/85

University of California - Berkeley

GIFTS OF LIBRARY MATERIALS
(Applies to all General Library units,
excluding the Bancroft Library)

Gifts received directly by branches:

1. Branches are encouraged to direct enquiries regarding the possible gift of monographs to the Gift Division, Acquisition Department. Offers of journals should only be accepted after the need for the journals has been established or under exceptional circumstances.
2. Occasionally, the gift of monographs or journal issues is made directly to a branch library. In any such transaction, the branch must make the following clear:
 - a. the material given to the Library may be added to the collection, used in exchange, or sold.
 - b. the Library is prohibited by federal law from appraising gifts for tax deduction purposes. The Gift Division can provide the names of local appraisers on request. The Main Library and its branches do not pay for these appraisals (with rare exceptions: contact the Head of Acquisition or the AUL for Collection Development).
 - c. if a donor contributes to any number of institutions, within one year, gifts of books/journals totalling \$5,000 or more, and if the donor wishes to itemize the gifts for a deduction, special tax laws apply:
 - i. the gifts must all be appraised by a qualified appraiser, and a summary of the appraisal must accompany the gift;
 - ii. the donor must tell us that he/she has made such gifts and to whom;
 - iii. the donor must furnish us with his/her tax identification number;
 - iv. the gift must be reported by the Acquisition Dept. on form UDEV100;
 - v. if any part of the gift is sold within the next two years, the sale value must be reported to the IRS, as it will be the fair market value allowed as a deduction.

Therefore, please be particularly careful in receiving large gifts, where the \$5,000 limit may be reached. We can not store large collections which are not to be added to the collection, and keeping records on all sales would be a burdensome

task.

The attached is a handout from the U.C. System interwide office designed to be offered to donors of large gifts. You are encouraged to give a copy of this to donors or refer them to me.

Please call me, Frank Carothers (2-3318), or Ellis Sheppard (2-9263) with questions or referrals.

3. If a gift is accepted directly in a branch library, the branch must note its receipt for its own files and must generate appropriate letters of acknowledgement.
 - a. The record should note the source and briefly describe the gift. This should be used in assembling the annual Christmas List, and then maintained in permanent file.
 - b. Acknowledgement is made either by the branch librarian or by the branch librarian, the University Librarian, and the Chancellor. A simple "thank you" letter from the branch librarian is ordinarily adequate acknowledgement for smaller, unappraised gifts.
 - c. A formal gift reporting form (UDEVL00) must be filled out by the Acquisition Department for any appraised gift, and should also be filled out whenever acknowledgement from the University Librarian and the Chancellor seems appropriate (as, for example, in the case of large by unappraised gifts, or when the public relations value of such an acknowledgement is significant).
4. After a branch has received a gift, the material must be processed and disposed of as follows:
 - a. All units should send unselected material to the Gift Division. Non-self-cataloging units should send gift material selected for the collections to BSD with ADM86 form.
 - b. Unselected material is disposed of only by or in coordination with the Gift Division. Should any branch library sell any unselected gifts (or any withdrawn Library material), all proceeds must be turned in to the Sale-of-Duplicates revenue fund. Use of unselected gifts (or withdrawn Library material) in barter with dealers or suppliers must be coordinated in advance with the Acquisition Gift Division.

TAX REFORM ACT OF 1984:
Donations of Personal Property, Real Property,
and Nonpublicly Traded Stock

Introduction

The Tax Reform Act of 1984 includes, among other provisions, regulations governing charitable donations of certain types of noncash gifts that are intended to preclude donors from overvaluing charitable donations of such property.

The following summarizes the provisions of these regulations that will affect the University and its donors. The regulations apply to donations made to the Campus Foundations as well as to those made to The Regents.

Effective Date

These regulations apply to donations made after December 31, 1984.

Donors Affected

These regulations apply to individuals, closely held corporations, and personal service corporations. They also apply when a partner in a partnership or an S-corporation shareholder includes a deduction on his or her return for a charitable donation made by the partnership or S-corporation.

Donor Appraisal Requirements

The donor must obtain and retain a qualified written appraisal for certain types of donations if the amount claimed as a charitable deduction by the donor for a year exceeds:

- (1) \$5,000 for any single item of personal or real property;
- (2) \$5,000 in the aggregate for similar items of property (such as a group or number of stamps or coins, lithographs, or books), whether donated to one or more institutions; or
- (3) \$10,000 for nonpublicly traded stock.

The regulations do not apply to donations of publicly traded securities.

The appraisal cannot be made by the donor, a party to the transaction in which the donor acquired the property (e.g., an art dealer from whom a painting was purchased), the recipient institution, or any person related to or regularly employed by any of the foregoing. The Congressional Conference Agreement

on this legislation indicates that, in appropriate circumstances, an appraiser who is regularly retained by any party mentioned above could be considered as an employee of that party for purposes of this requirement where a longstanding relationship with the appraiser would cause a reasonable person to question the independence of the appraiser.

The appraisal must be made by a person who is qualified to make appraisals of the type of property donated. The Internal Revenue Service (IRS) is to further define a qualified appraiser in regulations to be issued by December 31, 1984. These were unavailable at this writing but will be furnished when they are issued.

Appraisals for which the fee is based on a percentage of the appraised value do not qualify. Appraisals do qualify if all or a portion of the fee is based on a sliding scale, when the portion of the fee based on a sliding scale is paid to a generally recognized association that regulates appraisers (and no parties to the transaction have a beneficial interest in the association).

The appraisal must include a description of the property, the fair market value of the property on the date of donation, the specific basis for the valuation (e.g., comparable sales), and the qualifications of the appraiser. It must state that it was prepared for tax purposes, must be signed by the appraiser, and must bear his or her tax identification number.

The appraisal must be received by the donor before the due date, (including any extensions) of the tax return on which the donation is first claimed.

The donor must attach to the tax return on which the deduction is claimed a summary of the written appraisal, including the cost basis of the donated property and its acquisition date. The appraisal summary must be signed by the appraiser and list the appraiser's tax identification number, and must be acknowledged by the recipient institution (see more on this below). It is expected that the IRS will develop a special form similar to Schedule A for the appraisal summary, which will be furnished to campuses when it becomes available.

The donor is also required to furnish to the recipient institution a list of donations of similar items (such as stamps, coins, lithographs, or books) donated to other institutions in the same year.

This summary is not intended to outline in detail all of the responsibilities of donors, and donors should be advised to consult a tax advisor for more information.

Recipient Institution Reporting Requirements

If the recipient institution sells, exchanges, or otherwise transfers within two years of the date of receipt donated property defined by the regulations, it must furnish an information report to the IRS (with a copy to the donor). It is expected that the IRS will develop a special form for this report, which will be furnished to campuses when it becomes available. In the meantime, the IRS suggests a letter including the required information, addressed to the Internal Revenue Service, Fresno, California 93888.

This provision applies if the amount claimed as a charitable deduction by the donor exceeds:

- (1) \$5,000 for any single item of personal property, real property, or nonpublicly traded stock; or
- (2) \$5,000 in the aggregate for similar items of property (such as a group or number of stamps or coins, lithographs, or books), whether donated to one or more institutions.

Note that this provision does not apply to gifts of publicly traded securities, but that the threshold for nonpublicly traded stock is \$5,000 rather than the \$10,000 required for the donor appraisal.

The information report must include the donor's name, address, and tax identification number (usually the social security number), a description of the property, the date of donation, the amount received on the property's disposition, and the date of disposition.

To assist the recipient institution in fulfilling this requirement, the donor must (1) submit the appraisal summary to the institution for its acknowledgment signature, and (2) inform the institution of any donations of similar items made during the same year. The institution's signature on the appraisal summary represents only acknowledgment of receipt of the items described in the appraisal summary, and in no way indicates its agreement with or acceptance of the amount claimed.

Penalties

If the claimed value is determined to be excessive, the penalty for the donor is a flat thirty percent of the resulting tax underpayment and will apply if the claimed value is 150% or more of the correct value. The penalty applies regardless of how long the donor has owned the property. The penalty for failure by the recipient institution to furnish the required information report is estimated ~~to be \$50 per failure~~. The IRS's ability to waive penalties is more limited than under previous regulations.



University Development
203 Administration Building
491-7328

Colorado State University
Fort Collins, Colorado
80523

August 24, 1984

MEMORANDUM

TO: Deans, Directors, and Department Heads

FROM: R. William Goodwin, Executive Director, University Development

SUBJECT: Federal Requirements for Non-Cash Contributions

There are some new directives in the Tax Reform Act of 1984 that I would like to bring to your attention. I will try to outline the new regulations as they apply to non-cash contributions (gifts-in-kind) for your purposes with donors or gift opportunities that might come your way. The Development Office is ready to help you in any way at any time, so call on us whenever we can be useful.

Effective after 1984: An "appraisal must be obtained and a summary attached to the taxpayer's return" if,

- 1) Donated property to one or more donees is over \$5,000
- 2) Non-publicly traded securities to one or more donees has a claimed value of over \$10,000

Interpretations:

Appraiser..."must be qualified, must not be the taxpayer, the donee, or related in any way to the transaction or either party." (In other words, a clearly definable objective expert.)

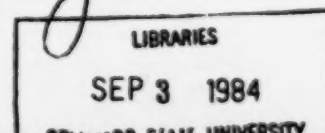
Appraisal..."must provide description, fair market value, basis for valuation, appraisal statement about purpose, appraiser's documentations, donor cost and acquisition information, and appraiser's signature and T.I.N. number."

Summary...In short, try to be very careful about obligating the University in any way with receipts and values for larger gifts, even under the limit of \$5,000, as the donor may reach the limit with other gifts. I suspect corporations will be aware of the regulations and know what is expected of them. Individual donors may not be forwarded and will expect us to provide all they need when, in legal terms, we are not able to do this.

xc: College Development Officers

Bill Goodwin

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COLORADO STATE UNIVERSITY LIBRARIES

TO: Libraries Staff
FROM: Director of Libraries
SUBJECT: Gifts

DATE: August 17, 1984

The Libraries regularly solicits and/or receives from friends gifts of kind (books) or gifts of funds. These gifts are intended to enrich the Libraries' collections and frequently serve to preserve the memory of someone deceased. These books are useful and enduring additions to the resources of Colorado State University.

I. POLICIES*

The processing of gifts of kind or funds is the initial responsibility of the Assistant Acquisitions Librarian, who gathers information about the nature of the gift, including any conditions or restrictions. The offers of major gifts of kind, and all gifts of funds are referred to the Director of Libraries for further consultation and final acceptance, and are ultimately forwarded, in turn, to the Development Fund Officer.

Before any gifts are accepted, the person or group making the donation reaches an understanding with the Assistant Acquisitions Librarian regarding the types of materials to be acquired according to the following guidelines:

A. Gifts of kind (books):

1. Integral parts of the Libraries' collection;
2. Fully cataloged, including the use of a gift book plate to identify the materials, when desirable;
3. Shelved with other publications according to subject fields;
4. Available to all patrons in accordance with the rules and regulations for borrowing.

B. Gifts of funds (cash):

1. Deposited in the Finance Office;
2. Expended by the Libraries in accordance with the terms of the gift.

C. Gift subscriptions by personal donors:

1. No original subscriptions in the central library are to be placed as or to be replaced by personal donor subscriptions.

These are "front line" subscriptions and for the benefit of patrons, absolute control is necessary.

2. Second copy subscriptions, or bindery copies, may be considered for personal donor subscriptions, since the "front line" subscription is being maintained.
3. At the discretion of the branch librarians, branch libraries may utilize a subscription maintained by a personal donor as long as this involves a relatively low percentage of the total subscriptions for the branch library.

D. Appraisal of gifts of kind (books) see attached memo
Goodwin, 8/24/84

1. The Libraries follows the following policy of the University as stated by the Director of the Development Fund, June 12, 1974:

"The attachment of value to the item(s) is to enter a value of the item(s) for internal University purposes. Under no circumstances will the University, per se, act as an appraiser to establish a value of the item(s) for the donor(s). The University will, however, cooperate fully and assist donor(s) in contacting appropriate authorities to establish a proper value of the item(s) for tax purposes from the donor(s)' standpoint. In the final analysis, and pursuant to Internal Revenue Service code, it is the responsibility of the donor(s) to obtain a qualified appraisal of the item(s) being contributed to the University."

*This policy excludes those gifts solicited and received by the Special Collections and Archives Departments (see ACQUIS:108).

II. PROCEDURES

The Assistant Acquisitions Librarian coordinates procedures for processing of all gifts of kind and funds agreed to by the donor and the Libraries.

A. Gifts of kind (books):

1. The gifts of kind are reviewed by the Collection Development Librarian and/or the appropriate subject librarian regarding suitability for the collection;

2. The major donated collections of books are referred to the Director of Libraries for acknowledgements and appropriate publicity;
 3. The minor gift book donations are acknowledged by the Assistant Acquisitions Librarian;
 4. In limited situations, a subject librarian may also wish to acknowledge a gift; this may be done if the acknowledgement is coordinated with the Assistant Acquisitions Librarian and does not duplicate efforts.
 5. Appropriate gift book plates are determined, coordinated and implemented by the Assistant Acquisitions Librarian.
 6. The Assistant Acquisitions Librarian keeps appropriate records for all gifts of kind.
- B. Gifts of funds (cash):
1. All cash donations received directly by the Libraries are referred to the Director and are transmitted by the Director of Libraries to the Development Fund Office. In general, acknowledgement of minor gifts is coordinated by the Assistant Acquisitions Librarian. Major gifts of funds are referred to the Director for acknowledgement. In special cases, subject specialists may also wish to acknowledge a gift; this may be done if the subject librarian coordinates the acknowledgement with the Assistant Acquisitions Librarian so there is not duplication of effort.
 2. All donations received by the Libraries from the CSU Development Office are acknowledged by the CSU Development Office; thus, they are not acknowledged by the Libraries unless the Development Office specifically requests the Libraries to do so.
 3. Accounts for cash gifts are assigned by the Assistant to the Director for Administrative Services in consultation with the Assistant Acquisitions Librarian, the Collection Development Librarian, and the Director as appropriate. The Monograph Section of the Acquisitions Department is subsequently informed when a new fund is established.
 4. If cash gift funds are restricted to specific subject area purchases, the Assistant Acquisitions Librarian coordinates the ordering of titles with the Assistant Director of Libraries for Collection Services and/or an appropriate subject librarian. Titles purchased with gift funds are ordered by the Monograph Section of Acquisitions or the Serials Department as appropriate. Gift plates may be prepared by the ordering

department when the name of the donor is provided or when the Assistant Acquisitions Librarian determines the appropriateness.

5. The Assistant Acquisitions Librarian keeps records for all gifts of cash.

LWA/IG:db

GIFT ACCEPTANCE POLICY

This policy statement has been compiled for the information of library donors and Libraries staff members, and to establish uniformity in gift acceptance practice and criteria.

The acceptance of gifts to the Libraries and the procedures for acknowledging gifts are to be consistent with University policies relating to such matters. The Director of Libraries is responsible for the acceptance of all gifts of materials, cash or securities.

1. Gifts of Materials

The Director of Libraries is responsible for the acceptance of gifts of materials, but the decision to accept and retain gifts is usually delegated to the subject specialist for the field to which the gift pertains.

1.1 Criteria for acceptance and retention

Subject specialists should review gifts of materials and retain gifts meeting the criteria specified in collection development policies. Gifts outside the subject field should be sent to Gifts and Exchange for review by other subject specialists. Materials not accepted by subject specialists will be reviewed by the Head of Acquisitions to determine cash or exchange value.

1.2 Conditions

No conditions as to location, circulation, use, disposal or marking should be attached to the donation unless such conditions are accepted by the Director of Libraries. The donor should be informed of this policy before the gifts are accepted.

1.3 Value of Gifts

The establishment of the gift's value for tax purposes is the responsibility of the donor.

An employee of the Libraries, a representative of the beneficiary, cannot, as an interested party, provide an appraisal of the value of gifts.

The Head of Acquisitions may supply the names of qualified professional appraisers upon request.

Appraisals are made at the donor's expense and are tax deductible.

Donors having questions about tax deductions for gifts to the Libraries should be referred to the local Internal Revenue Service office and to IRS Publications 561 (Valuation of Donated Property) and 526 (Charitable Contributions). Copies of these publications are available for reference in the Acquisitions Department.

2. Gifts of manuscripts or other unpublished materials.

If the prospective gift includes unpublished manuscript or typescript materials, letters, notes, photographs taken by or for the donor, or tape recordings made by or for the donor, the donor should complete and sign a "Deed of Gift Agreement." A sample copy is attached.

Deed of Gift Agreement shall be countersigned by the Director of Libraries.

The original signed copy of the Deed of Gift Agreement will be forwarded to and retained by the Assistant Director for Special Collections.

3. Gifts of Cash or Securities:

The Director of Libraries is responsible for gifts of cash and securities.

Donors desiring to contribute cash or securities to the Libraries should be instructed to contact the Director.

Libraries staff members may not accept or negotiate gifts of cash or securities.

4. Acknowledgements

All gifts should be appropriately acknowledged. The Director of Libraries should be informed of substantial gifts.

September 1983

University of Texas at Austin

THE GENERAL LIBRARIES

POLICY MEMORANDUM, No. 19

GIFTS POLICY AND PROCEDURES

The development of any library collection depends not only on the judicious purchase of materials but also on gifts of books, periodicals, other library materials and money. The University of Texas at Austin General Libraries welcomes and solicits such gifts when they support the teaching, research and other needs of the University. Like purchases, gifts are selected for the collections by criteria outlined in the Collection Development Policy. Potential gifts of significant size are assessed by the appropriate library bibliographer on the basis of a detailed description or personal inspection to determine whether the gift justifies the expense of handling and possibly of transportation. If it does not, other possible recipients of the donation are suggested.

All gifts are accepted with the understanding that upon receipt the University becomes the owner of the material and, as such, reserves the right to determine retention, location, cataloging treatment, and other considerations relating to use or disposition. Proper acceptance, acknowledgement, records maintenance, identification and disposition of gifts are essential to a responsible gifts program. These principles are detailed in the flyer "Gift information for Prospective Donors" (Appendix 1).

Authority to Accept Gifts

As stated in the Rules and Regulations of the Board of Regents, Part Two (see Appendix 2), "The authority to accept gifts to the System or to any of the component institutions is vested in the Board." The Rules and Regulations further state that recommendations concerning the acceptance of gifts in any form should be transmitted by the chief administrative officer through the Office of the Chancellor to the Board. The authority to accept gifts to a component institution is delegated to the chief administrative officer under certain circumstances, such as cash gifts (except endowments) of \$25,000 or less, but all gifts are to be reported to the Board. "Gifts to the component institutions of books or other objects of very small value and very obvious propriety, without conditions attached, may be accepted by individual members of the staffs provided these gifts are reported to the Board."

In order to abide by these regulations it is extremely important that all gift acceptance for the General Libraries be coordinated through the director of General Libraries who makes recommendations to the president for transmittal to the Board of Regents. Therefore, all routine gifts must be centrally received by the gifts bibliographer. Questions regarding the physical receipt of exceptional material such as manuscripts, archives, rare books, special subject collections, and so on, should be directed to the assistant director for collection development. When minor gifts are received or left in a branch

Gifts Policy and Procedures

library or other unit, they should be forwarded immediately to the gifts bibliographer with appropriate information on source, need for acknowledgement and recommendation on disposition.

Every effort is made to discourage acceptance of gift materials for the General Libraries by any agency of the University except the Library itself.

Procedures for Acceptance

Initial recommendations for the acceptance or refusal of gifts of books or other library materials are made by the appropriate bibliographer as coordinated through the assistant director for collection development. Physical receipt, initial sorting and routine acknowledgement of gifts are coordinated by the gifts bibliographer. Any question concerning a gift of a non-routine nature, either of materials or money, is directed to the assistant director for collection development. Questions regarding monetary gifts not for the purchase of materials are also appropriately addressed to the assistant director for administrative services or the director of General Libraries. The authority to negotiate or acknowledge gifts of a special subject or language nature may be delegated to a special collection or subject bibliographer. Materials or collections of uncommon value (over \$500) must be handled as outlined below. Cash gifts of \$25,000 or less are handled through routines established in the Library Office for transmittal to the Office of Accounting and the University Development Office. Larger gifts require transmittal through the President.

Conveyance Documents

It is important that gift conveyance documents be secured and preserved as a part of the gift record, especially for gifts exceeding \$500.

Conveyance documents for gifts of books or other library materials may consist of correspondence, memoranda or other written documentation related to the gift. In many cases a deed of gift (see sample, Appendix 3) may be executed. This is the best way to acquire proper and legal title to all gifts in kind. Before any commitment is made to the prospective donor, specified conditions or restrictive clauses should be carefully considered by the General Libraries and University Development Office in consultation with the University attorney to determine the recommendation to be made to the president and Board of Regents for acceptance or rejection. (See also "Statement on Legal Title," Appendix 4). The original conveyance document (as opposed to a photocopy) is always forwarded to the Development Office.

For monetary gifts the conveyance document is usually a letter or other written documentation accompanying a check. Small cash gifts are discouraged but may be accepted and transmitted along with a memorandum describing the circumstances of the gift.

Gifts Policy and Procedures

Gifts of Books and other Library Material

1. Gifts valued at \$500 or less are acknowledged by a form or personal letter as appropriate over the signature of the director of General Libraries (see Appendix 5). Preparation and maintenance of records for such items is the responsibility of the gifts bibliographer. A quarterly report listing the number of donations received of this sort should be sent to the University Development Office within thirty days after August 31, November 30, February 28 and May 31 of each year. If a Deed of Gift documents a gift of this type, retain the deed in the Gifts Unit file and other appropriate library files; do NOT send to the Development Office.
2. Gifts valued at more than \$500, up to and including \$25,000, are recommended by the director of General Libraries for acceptance and acknowledgement by the president. This is accomplished by sending two copies each of a letter of recommendation and appropriate conveyance documents to the University Development Office, one copy for the Office and one copy for the president (see Appendix 6). Acknowledgement is also made by the director of General Libraries when appropriate. The assistant director for collection development determines the appropriate action to take with respect to such gifts.
3. Gifts valued at more than \$25,000 require acceptance by the Board of Regents following recommendation by the president. The director of General Libraries makes an initial recommendation to the president (see Appendix 7). Other detail follows (2) above.

Monetary Gifts

1. \$25,000 or less—The Library Office sends the currency or check with appropriate conveyance documents and a Gift Processing Form (Appendix 8) to the Office of Accounting, which credits the proper account and coordinates with the University Development Office for transmittal to the Board of Regents and official University acknowledgement. Acknowledgement is also made by the director of General Libraries as appropriate. The assistant director for administrative services reviews all unrestricted monetary gifts to determine the account to be credited. The assistant director for collection development is informed of nonroutine monetary gifts, restricted or unrestricted, for acknowledgement purposes.
2. More than \$25,000—All gifts of this amount require acceptance by the Board of Regents following recommendation by the president. The director of General Libraries makes initial recommendation to the president (see Appendix 9). Other detail follows (1) above.

Appraisals

The General Libraries subscribes to the following "Statement on Appraisal

Gifts Policy and Procedures

of Gifts" as developed by the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section, Association of College and Research Libraries. In interpreting 3 (below) in regard to "small gifts" the following guidelines are used. Desirable gifts of manuscripts or other archival material of small value may be appraised by special collections staff with very little expenditure of time or effort. Since these materials are unique, they are seen as worth this small effort; such appraisals are usually made upon request. Such exceptions are not normally made in the appraisal of small gifts of books.

If furnishing an appraisal means the difference between receipt or non-receipt of a gift of substantial value, whether book or archival, a professional appraiser may be retained to do the job. In deciding on whether to support a professional appraisal or not, the cost of the appraisal is weighed against the desirability of the materials and other costs (transportation, processing) inherent in the acquisition. Again because of their uniqueness and relatively inexpensive processing, archival materials are more likely candidates for this exception than are books.

Exceptions to the appraisal policy are to be made only in consultation with the assistant director for collection development.

ACRL STATEMENT ON APPRAISAL OF GIFTS

1. The appraisal of a gift to a library for tax purposes generally is the responsibility of the donor since it is the donor who benefits from the tax deduction. Generally, the cost of the appraisal should be borne by the donor.
2. The library should at all times protect the interests of its donors as best it can and should suggest the desirability of appraisals whenever such a suggestion would be in order.
3. To protect both its donors and itself, the library, as an interested party, ordinarily should not appraise gifts made to it. It is recognized, however, that on occasion the library may wish to appraise small gifts, since many of them are not worth the time and expense an outside appraisal requires. Generally, however, the library will limit its assistance to the donor to: (a) providing him with information such as auction records and dealers' catalogs; (b) suggestions of appropriate professional appraisers who might be consulted; (c) administrative and processing services which would assist the appraiser in making an accurate evaluation.
4. The acceptance of a gift which has been appraised by a third, and disinterested party does not in any way imply an endorsement of the appraisal by the library.
5. An archivist, curator, or librarian, if he is conscious that as an expert he may have to prove his competence in court, may properly act as an independent appraiser of library materials. He should not in any way suggest that his appraisal is endorsed by his library (such as by the use

Gifts Policy and Procedures

of the library's letterhead), nor should he ordinarily act in this fashion (except when handling small gifts) if his institution is to receive the donation.

Acknowledgement

Appropriate acknowledgement of all gifts is made by the library and, for permanent identification of the gift, the donor's name appears on the book plate of each volume added. The development of an appropriate book plate for special recognition is the responsibility of the assistant director for collection development.

Temporary Deposits

The temporary deposit of materials in the Library is not encouraged. However, present tax laws regarding self-generated literary and other works have encouraged authors and artists to pursue such deposits pending more favorable tax legislation. Thus, factors to consider in potential deposit arrangements are whether a temporary deposit is likely to become a permanent donation, whether preservation of the material is a major concern, and whether legal regulations affect the ownership of corporate or other records (see Appendix 7, "Statement on Legal Title"). Any question concerning a temporary deposit arrangement will be considered by the General Libraries in consultation with the University Development Office and University attorney prior to a recommendation to the president and Board of Regents.

Gift Files

Gift records including copies of letters of acknowledgement, significant correspondence relating to gifts, conveyance documents, appraisals, and other appropriate documentation shall be assembled in files maintained by the gifts bibliographer. Copies of correspondence and records relating to gifts may also be retained as appropriate in special collections or bibliographer files. As needed, gift records may be retired to the University Archives.

Recommended by Department Heads, 9/15/76

Approved by Merle N. Boylan, 10/15/76

Revised by Carolyn Bucknall and Fred Rothberger, 2/15/83

Approved by Harold W. Billings, 9/22/83

GIFTS

I. General Policy

Gifts are one means of developing the Libraries' collections. The SUNYA Foundation accepts, on behalf of the University Libraries, materials which are donated to the Libraries. The University Libraries reserve the right to reject, prior to receipt, and to dispose of, after receipt, any materials deemed inappropriate to the collection.

Ordinarily gifts are accepted only if the donor specifies no conditions on their use or disposal. Only the Director of Libraries may approve acceptance of gifts with special stipulations concerning copyright, legal title, restricted access, and other legal implications. Such agreements will be documented with a Memorandum of Agreement (see p. 9). Gifts of manuscript materials* are also accepted only under terms agreed upon in a Memorandum of Agreement.

The following restrictions govern acceptance of gift collections within constraints of space and staffing:

- a. Collections containing up to 500 volumes and/or 10 cartons of materials in miscellaneous formats will be accepted based on the decision of the Bibliographer and the immediate supervisor of the collection(s) in which the material is to be located.
- b. Collections containing over 500 volumes and/or 10 cartons of materials in miscellaneous formats require consultation between the Bibliographer and the immediate supervisor of the collection(s) in which the material is to be located. That supervisor will recommend action to the Director who, after appropriate consultation, will either approve or reject the recommendation.

*Manuscript materials include all unpublished items enumerated in the "Glossary" of Kenneth W. Duckett's Modern Manuscripts (Nashville: American Association for State and Local History, 1975, pp.341-2) and published materials annotated or autographed by author or owner.

II. Procedures

A. Unsolicited gifts

1. Receipt

The Libraries receive many gifts without prior contact with donors. Receipt occurs in one of the following ways:

- a. Gift materials are brought to public service points during the day; donors are referred to the Head of the Collection Development Department or to the Head of GLPP.
- b. Gift materials are brought to public service points during evening or weekend hours; the donor is courteously thanked and asked for name and address and whether or not acknowledgement is requested. These items are then routed to the appropriate Head (see a above).
- c. Gift materials are delivered without previous arrangement to the Shipping and Receiving Unit; the donor's name and address are recorded and whether or not an acknowledgement is requested. All cartons are marked with the donor's name and the date of receipt and numbered "1 or __", etc. The Head of the Collection Development Department is notified to make arrangements for processing.
- d. Many unsolicited materials arrive in the Libraries via mail. They are routed through the Acquisitions Department to the Head of the Collection Development Department for suitable disposal.

2. Acknowledgement

Gifts of individual donors are acknowledged with a letter on SUNYA Foundation letterhead; one copy of the letter is routed to the Director's Office "Gift File" and two copies are sent to the SUNYA Foundation for its files. Unsolicited items received by mail from organizations and publishers are acknowledged only if the donor has included with the materials a request for acknowledgement. A sample letter appears on page 7.

3. Processing

Unsolicited gifts are examined by the appropriate Head and, if deemed inappropriate for the Libraries' collections, may be designated as "Gift--Surplus" or "Gift--For Sale" without further processing. If considered of potential value, the items are routed to the appropriate Bibliographer for a decision. Processing follows steps B.1.f. and g. below.

B. Negotiated gifts

Inquiries regarding potential gifts are referred to the Head of the Collection Development Department (published materials only) or the Head of GLPP (published materials and materials to be placed in the Public Policy Archives) or the Head of Special Collections (primarily manuscript materials). Negotiations for published materials are dealt with differently from those for manuscript materials, as described in B.1. and B.2. below.

1. Published materials

- a. The appropriate Bibliographer is designated to discuss offers with or make initial overtures to potential donors. Gifts of individual titles and collections of less than 500 volumes and/or 10 cartons of materials in miscellaneous formats may be accepted or rejected without written documentation if the donor places no conditions on the transaction. Processing continues with steps f. and g. below.
- b. For gifts of more than 500 volumes and/or 10 cartons or those upon which the donor wishes to place restrictions, the Bibliographer prepares a written description including the following:
 - * Name, address, and telephone number of donor
 - * Subject field of the collection
 - * Type or types of materials (books, periodicals, government publications, pamphlets, phonorecords)
 - * Size of collection, including number of items in each format
 - * Period covered by the collection (dates of publication)
 - * Condition (how and where stored to determine possible mold or insect infestation; if there is possibility of infestation, the Bibliographer should make an on-site visit and consult with the Conservation Officer before a decision is made, reporting results here)
 - * Conditions of gift proposed by donor

- * Time frame (date when collection can be seen, if this is to be done, date by which decision of acceptance must be made, approximate date of delivery)
- c. The Bibliographer determines the value and relevance of the materials to the Libraries' collections and makes a recommendation to the Head of Collection Development Department or Head of GLPP. (In some cases, the Bibliographer will consult with supervisors of special collections before making a recommendation.)
- d. The appropriate Head forwards the recommendation and documentation to the Director who, after appropriate consultation, makes a decision on acceptance.
- e. The donor is notified of the Director's decision in writing. The appropriate Head drafts a letter for the Director's signature. The letter includes:
 - * If the collection is not being accepted, an explanation (lack of relevance to the University Libraries' collection policies, space or processing limitations) and any suggestions for other disposition of the materials, if known, as a public relations gesture.
 - * If the collection is being accepted, designation of time and mode of delivery (as agreed upon orally), donor's responsibility for appraisal or listing/counting of materials for tax deduction, wording for bookplates, and indication that the gift is accepted without restrictions upon its disposal.
- f. On receipt of the collection, an acknowledgment letter is prepared on SUNYA Foundation letterhead (sample on page 7). One copy of the letter is routed to the Director's Office "Gift File" and two copies are sent to the SUNYA Foundation for its files.
- g. The appropriate Bibliographer(s) are notified to examine the materials. A Bibliographic Processing slip (sample on page 8) is inserted in each volume or set/series for those to be added to the collection. After a holdings search, a multiple form is typed by support staff and inserted in items to be kept. Items to be discarded are transferred to Shipping and Receiving Unit in cartons marked, according to A:21, "Gift--Surplus" or "Gift--For Sale".

2. Manuscript materials

When potential gift collections include materials which are defined as manuscript materials (see footnote on page 1) and fit the parameters of the collection development policies for special collections within the University Libraries, negotiations will be conducted by the immediate supervisor of the collection(s) in which the material is to be located. Published materials acquired as part of manuscript collections will be dealt with after receipt.

- a. A basic description of the entire collection will be prepared by the negotiator including all of the elements described in B.1.b.
- b. The negotiator assesses the value and relevance of the materials to the Libraries' collections in consultation with appropriate Bibliographer(s) (and/or a consultant from the University teaching faculty) and forwards a recommendation and documentation to the Director who, after appropriate consultation, makes a decision on acceptance.
- c. The donor is notified of the Director's decision in writing. The negotiator drafts a letter for the Director's signature. The letter includes:
 - * If the collection is not being accepted, an explanation (lack of relevance to the Libraries' collection policies, space or processing limitations) and any suggestions for other disposition of the materials, if known, as a public relations gesture.
 - * If the collection is being accepted:
 - a) A draft Memorandum of Agreement is prepared (sample on page 9).
 - b) A cover letter asking the donor to examine the draft Memorandum of Agreement and make necessary changes and informing the donor about packing, shipment, delivery, and insurance (including details orally negotiated as to who will be responsible for costs incurred). The donor is asked to return the draft Memorandum to the Director.

- c) On receipt of the draft Memorandum and following any further negotiations, a final Memorandum is prepared. Two copies are sent to the donor with a cover letter asking the donor to sign both copies, have the signature notarized, and return both copies to the Director.
 - d) On receipt of the signed Memorandum, the Director signs both copies, has the signatures notarized, and returns one copy to the donor with a cover letter informing the donor that the materials can now be delivered to the Libraries as negotiated and, if any cost is to be assumed by the Libraries, how payment will be made. Two copies of the signed Memorandum are sent to the SUNYA Foundation for its files and the signed original is filed in the Director's office "Gift File".
- d. On arrival of the materials, the unit which has negotiated the gift:
- i. Compiles a list of all materials received (if one has not been supplied by the donor); for manuscript materials, descriptions of groups of items may be prepared if a collection inventory cannot be done immediately.
 - ii. Checks published materials against the Libraries' cataloged holdings and separates all items into two categories -- items owned and those not owned.
 - iii. Notifies appropriate Bibliographers (or consultants from the University teaching faculty) to review published materials for processing according to B.1.g. above.
 - iv. Prepares a press release announcing receipt of the collection and forwards it to the Communications Projects Librarian for dissemination.
 - v. Processes the manuscript materials.

5/15/84

Indexed under: Gifts
 Manuscripts
 Negotiated gifts
 Unsolicited gifts

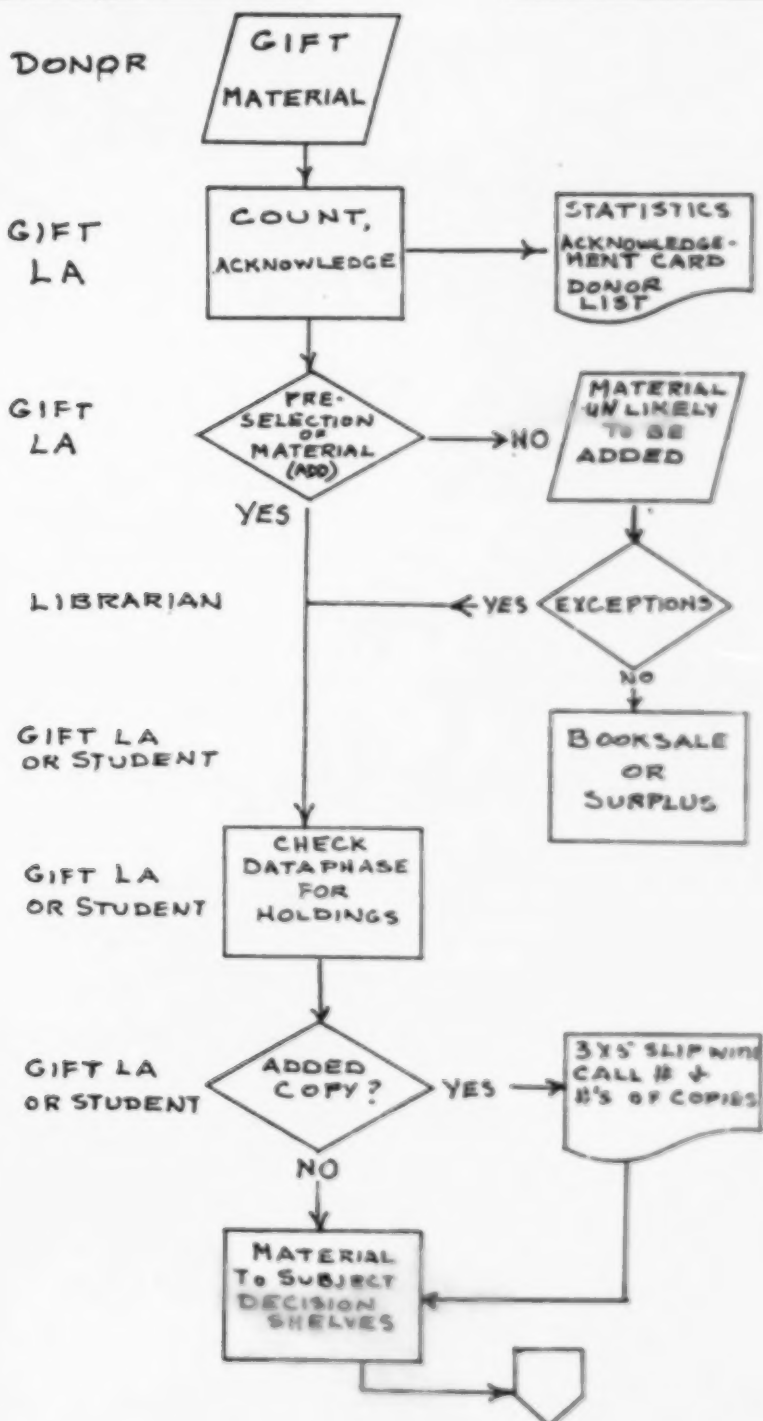
11/84
SP4-4 EN

GIFT BOOK PROCESSING
Texas A & M University - Library

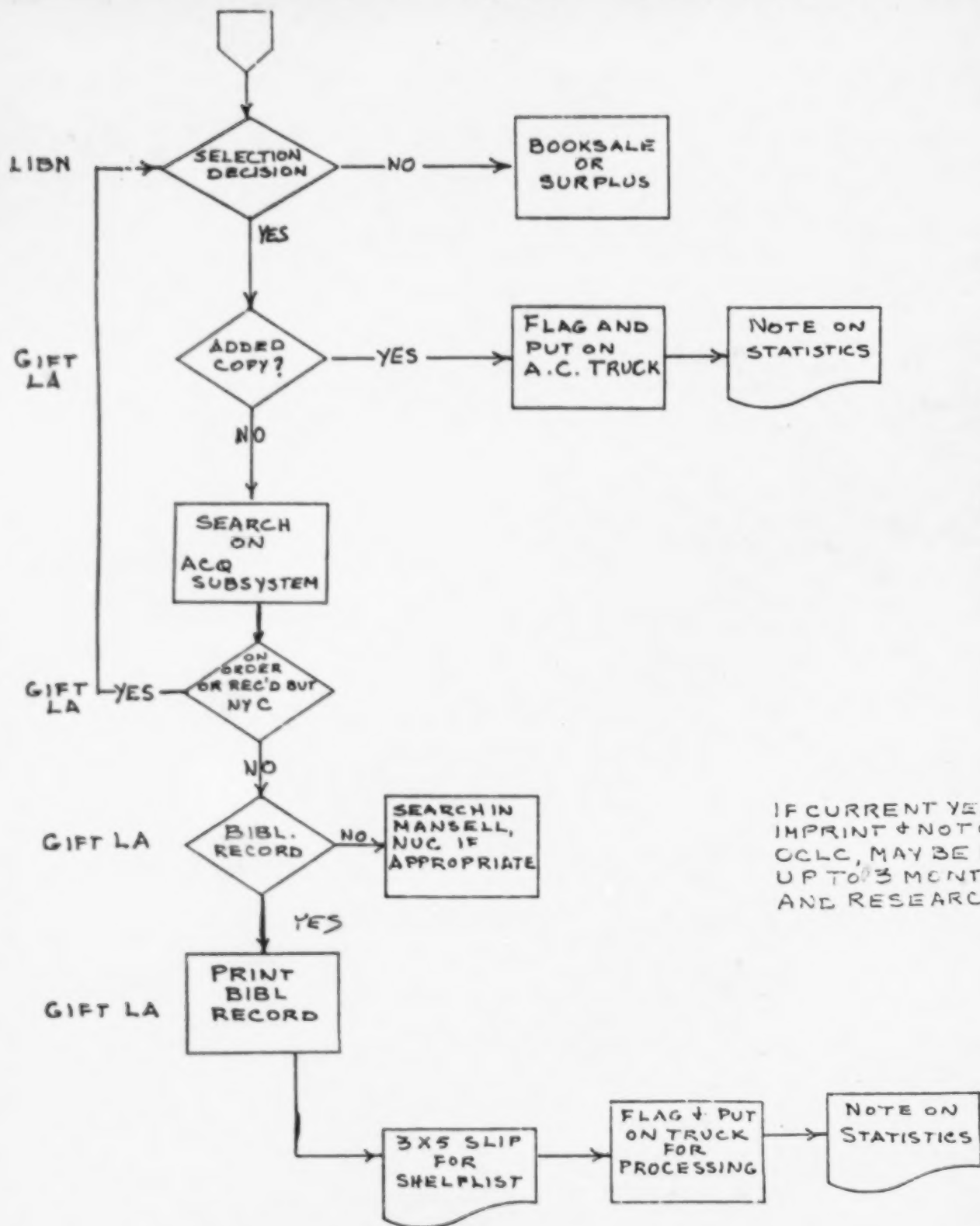
RESPONSIBILITY
OF:

FUNCTION

COMMENTS



EXCEPTIONS
10 YEAR OLD
TEXT BOOKS,
HALL MARKS,
PAPER BACKS



IF CURRENT YEAR
IMPRINT & NOT ON
OCLC, MAY BE HE
UP TO 3 MONTHS
AND RESEARCH:

OBJECTIVES:

SAVE COST BY ELIMINATING PRODUCTION OF ACTION FORMS. MOVE MATERIAL THROUGH FASTER BY ELIMINATING ACTION FORMS AND O-LEVEL DELAYS. PROCESS MATERIAL IN ORDER OF RECEIPT.



GIFTS

The Library welcomes gifts of books that fall within the scope of its collecting activities. The same criteria that are used for the purchase of new materials are applied when gifts are reviewed. In both cases the decision is based upon the demands, present and anticipated, of the University's programs of teaching and research.

POLICY

Gifts of materials are accepted by the Library with the understanding that once received they are owned by the University. The Library reserves the right to determine their retention, location, cataloging treatment and other considerations related to their use or disposition. Only the Dean of Libraries or his designees may accept books on behalf of the Library.

GUIDELINES

1. Kinds of gifts welcomed. The Library accepts gifts of books and other materials which will enhance the strengths of its collections. Of particular interest are scholarly or rare items with research value that are in good physical condition. Materials which fall outside the Library's collecting policy, such as outdated textbooks, popular journals, unnecessary duplicates, etc., are generally not accepted.
2. How to make a donation. Anyone interested in donating materials should contact Frank Walker at 598-3756. Mr. Walker will discuss the materials with the donor and indicate whether or not the gift would be of value to the Library. In order to make such a decision, he may need to examine the gift. If necessary, a pick-up can be arranged after the gift has been reviewed and accepted. All donations will be acknowledged by a letter from the Library.
3. Appraisals. Donors who wish an evaluation of their gift for tax purposes are referred to the Internal Revenue Service Publication 561, Determining the Value of Donated Property. A substantial gift will need to be reviewed by an appraiser. The cost of this service is normally borne by the donor but is tax deductible. Because the Library is considered an interested party in the transaction the IRS may disallow an appraisal made or paid for by the Library. Upon request, the Library will suggest appropriate independent appraisers who may be considered by the donor. In the case of gifts too small to warrant appraisal costs, the Library can suggest reference books which the donor can use in determining the value of the gift.
4. Gifts of money. Donations of funds to supplement the Library's general acquisitions or for the purchase of materials in a particular subject field are welcomed. Information on making contributions to the unrestricted book endowment account, establishing a restricted endowment and naming opportunities is available from the Dean of Libraries.

Columbia University Libraries'
GIFTS POLICY

LGifts of scholarly materials to the Columbia University Libraries have historically represented a significant element in the development of the University's outstanding research collections. Columbia scholars who have made important contributions include Jacques Barzun, Joseph Bauke, Paul Kristeller, Margaret Mead, Benjamin Nelson, and Carl Woodring. Gifts are a primary source for rare and unique materials which are difficult or impossible to obtain elsewhere.

DESIRED GIFTS The Libraries, while welcoming gifts in all acceptable scholarly formats, are particularly interested in materials which enhance the strengths of existing collections and support the instructional and research programs of the University.

Because of the high cost of archival storage and processing, the Libraries cannot accept popular fiction, outdated textbooks, students' notebooks, duplicate copies, books in poor condition, most journals, or similarly inappropriate materials. Most collections exclude practical "how-to" guides and "cheap" paperbacks.

In order to insure maximum accessibility of library resources, restrictions cannot usually be placed on housing, access, processing, etc.

If it is necessary to decline a gift, potential alternative institutions are suggested whenever possible.

PROCEDURES Donors may telephone or write the Gifts and Exchange Department located in Butler Library (1-212-280-3532) or contact the appropriate departmental librarian. The Head of the Gifts and Exchange Department, after consultation with the Libraries' subject specialists, will approve the acceptance of the gift within collection policy guidelines.

Gifts become the Libraries' property upon receipt and may be added to the collections or disposed of at the Libraries' discretion. Items not added to the collections may be used in exchange programs with libraries throughout the world to obtain important materials otherwise unavailable, or sold in the Book Sale Room in Butler Library, where prices are set to enable students and faculty to build their personal collections. Income from book sales is used to purchase needed materials for the general collections.

ACKNOWLEDGMENTS AND APPRAISALS The Head of the Gifts and Exchange Department will send the donor a written acknowledgment of the gift. The Department reports gifts to the University's Office of Planned Giving and prepares an annual listing of significant gifts to the Libraries.

The Libraries, do not provide appraisals for gifts received. According to the IRS regulations, a donor claiming a tax deduction for a charitable contribution must have the gifts appraised by a qualified appraiser. A qualified appraiser must have a Treasury Identification Number and cannot be the donor or the donee. Donations to be reported for income tax purposes should be received by December 15 of the year in which the deduction is to be claimed.

TYPES OF MATERIALS COLLECTED AS GIFTS
(according to subject)

HUMANITIES

1. ART and ARCHITECTURE:

Collects: architectural design and history, art history, landscape architecture, historic preservation, city planning, photography, archeology (limited to ancient buildings, sites and antiquities); decorative arts (such as mosaics, stained glass, and furniture); current and out-of-print monographs and ephemera in the following categories: (a) publications of architectural firms picturing their own buildings, (b) view books -- souvenirs of single American places featuring buildings, (c) architectural guide books, (d) trade catalogs from companies manufacturing building materials and architectural elements, (e) books and brochures on individual buildings or groups of buildings published by the owners, architects, or real estate companies, (f) ledgers, account books, collections of letters, and other documents produced by architects, builders, etc., (g) original drawings by architects or photographs of such drawings, and (h) photograph albums which show the steps in the construction of a building from the excavation to the finished structure. Selected journals in the above mentioned subject fields are accepted if in good condition and cover at least several years.

NOTE: To offer collections on art and architecture please contact the Avery Architectural and Fine Arts Library directly, 280-3068.

Excludes: unsorted or popular journals, sales catalogs, prints, art productions and supplies.

2. HISTORY:

Collects: scholarly works on the history of all nations, with an emphasis on the U.S. and Great Britain; archeology, numismatics, inscriptions, and epigraphy.

Excludes: history at the local level, (with the exceptions of the U.S., Great Britain, and the countries of Africa and South Asia) and genealogy (except for major historical figures).

3. LIBRARY and INFORMATION SCIENCE:

Collects: monographs and journals in library history, practice, and theory, including non-U.S. areas and developing countries; materials on the history of the book and of printing.

Excludes: manuscript/archival material, and unpublished material (the latter two categories will be offered to the Rare Books and Manuscripts Library).

4. LITERATURE:

Collects: scholarly analyses, novels of established authors, avant-garde writers, and translations only from foreign languages into English (except if author of established classic). Belles-lettres are collected selectively in all languages taught in the University as well as in languages which support on-going research.

Excludes: popular culture, mass market fiction, translations from English into other languages (except for major authors), and from one language to another.

5. MUSIC:

Collects: scholarly monographs in all major western European languages, facsimile editions, translations into English of major works; reference materials; music history, performance practice, biographies of composers and musicians, writings on musicology, ethnomusicology, iconography, philosophy and aesthetics of music, national musics, acoustics, psychology of music, music theory treatises and theory and composition treatments and styles, books on musical instruments and instrument makers (organology), and interdisciplinary approaches involving music and other artistic/ academic disciplines. Also, selected textbooks which have research appeal, 33 1/3 LP records, and reel-to-reel and cassette tapes of classical or jazz music and of selected musical theater productions, music scores, and opera and choral works libretti.

Excludes: pedagogic materials ("how-to" techniques), sheet music (except for well-preserved collections of Americana), popular recordings, choral octavo scores, score and sheet music arrangements, or children's music.

6. PERFORMING ARTS:

Collects: theater and cinema, including both scholarly and popular treatments.

Excludes: dance

7. PHILOSOPHY:

Collects: scholarly treatises (ancient, medieval, and modern) for all cultures and nations covered by the teaching programs of the University.

Excludes: popular, practical treatments.

8. RELIGION:

Collects: works and studies, original texts, and early missionary literature.

Excludes: devotional or educational literature, exegesis, religious education, contemporary missions, and popular cults of Christianity and other major religions.

SOCIAL SCIENCES

1. ANTHROPOLOGY
2. GEOGRAPHY
3. POLITICAL SCIENCE
4. SCIENCE and HUMAN AFFAIRS
5. SOCIOLOGY

For all 5 above:

Collects: current year imprints of major social science research monographs, landmark works of social sciences, current awareness pamphlets and other ephemera (e.g., pamphlets of small political organizations), first issues of new (current year) journals, long runs (at least ten years) of selected journal titles, and reference works.

Excludes: undergraduate level studies, paperbacks (except scholarly or landmark works), and unsorted journals.

6. BUSINESS and ECONOMICS:

Collects: current year imprints of monographs.

Excludes: reports of U.S. government hearings or committees.

7. JOURNALISM:

Collects: monographs on print and broadcast media and selected social sciences, with preference given to current year imprints.

Excludes: journals and textbooks; subjects not covered above.

8. LAW:

Collects: scholarly monographs, with an emphasis on international and foreign law. Limited donations of historically important or rare materials in the legal field are accepted. Donations of manuscript materials are limited to persons with a Columbia University affiliation. NOTE: To offer collections on law please contact the Law Library directly by notifying the Head of Acquisitions at 280-8413.

Excludes: sets of statutes, court decisions, law reviews or journals, casebooks, and textbooks.

9. SOCIAL WORK:

The Libraries are not currently accepting gifts in the field of social work.

EAST ASIA:

Collects: scholarly monographs supporting current research, with emphasis on publications in the vernacular and non-East Asian languages on China, Japan, and Korea; literature, history, philosophy, economics, politics, scholarly analyses of East Asian religions, art, history of science, sociology, business, and public administration.

Excludes: popular travelogues, general descriptive works, pulp fiction, translations from

Western languages into the vernaculars, university bulletins, congresses, conference proceedings, and symposia. Science and technology (except history or sociology of science), medicine, and juvenilia. NOTE: To offer collections of East Asian materials, please consult the East Asian Librarian at 280-2578.

RARE BOOK AND MANUSCRIPT LIBRARY

Collects: Early printed books, pamphlets and broadsides (European imprints through 1600, British imprints and works published in the English language through 1800, United States imprints through 1815, South American, Central American, and Mexican imprints through 1825, and Canadian imprints through 1825); later printed books, pamphlets, and broadsides (imprints of all periods for works having importance because of subject, author, printer, illustrator and binder, and for bibliographic characteristics, such as size of edition, and association factors, such as autographs, inscriptions, and marginal notes; subject materials within the above categories in English and American literature and history, classical authors, children's literature, mathematics and astronomy, economics and banking, the technical development of photography, the history of printings, New York City politics, American music and hymnology, European political movements, manuscript catalogs, Edwardian and Georgian poetry, the Beat movement, polar exploration, and numerous other fields. Manuscript and archival collections that are relevant to research at the University, especially those pertaining to the above subjects and, in addition, American publishers and literary

agents, Russian and East European history and culture, librarianship, international affairs organizations, social work, the performing arts, and Columbia alumni, faculty, and research. Artworks relating to the subject collections.

Excludes: Subject materials in health sciences, law, architecture, fine arts, and those in the East Asian languages.

SCIENCES

NOTE: Biology, Chemistry, Engineering, Mathematics, and Physics collect scholarly research level monographs prepared within the last five years.

1. GENERAL SCIENCES:

Collects: history of science, general treatments for the adult non-specialist, older scholarly books, and current research-level monographs.

Excludes: practical treatments.

2. BIOLOGY:

Collects: physical anthropology, molecular biology, cell biology, neurobiology, population and evolutionary biology. Also, selected monographs of general reference on botany and zoology, field guides, taxonomic tables, handbooks, ecology (i.e., extinction of species, populations, wetlands), science reference, botany, and zoology.

Excludes: lab manuals, as well as books in the following subjects: anatomy, forestry, marine biology, agriculture, environmental science (i.e., pollution, toxic waste), horticulture, gardening, farming, animal husbandry, fisheries, game, and

hunting. NOTE: the Geoscience Library at Lamont will take certain subjects not collected in the Biology Library, which relate to forestry, marine biology, and environmental science.

3. CHEMISTRY:

Collects: Material which supports the current teaching program and on-going research.

Excludes: practical treatments.

4. ENGINEERING and APPLIED SCIENCES:

Collects: current technical books at the research level; technology for the general reader, chemical engineering, bio-engineering, computer science (less than two years old), mechanical engineering, applied physics and nuclear engineering, civil engineering, industrial engineering and operations research, electrical engineering, and mining engineering.

Excludes: petroleum engineering and the following aspects of civil engineering: bridges, surveying, highways, and building methods; publications in computer technology and electrical engineering which are over two years old; journals, pamphlets and ephemera, and undergraduate-level textbooks (except in computer science).

NOTE: the Geoscience Library at Lamont, however, does collect selectively in petroleum engineering.

5. GEOLOGY and GEOSCIENCE:

Collects: monographs and selected journals which are current or retrospective (especially out-of-print titles); congresses, conference proceedings, symposia, geologic maps, and N.Y. State geological publications; forestry, marine biology, environmental science, and petroleum engineering.

6. HEALTH SCIENCES:

Collects: bound volumes/ unbound issues of primary research journals; current and historical subject collections and research monographs in the several areas of special concentration in the collection, including plastic surgery, anatomy, anesthesiology, comparative anatomy, biochemistry, neurology, oncology, nursing, public health, dentistry, medicine, ophthalmology and psychiatry; materials about the Columbia-Presbyterian Medical Center and copies of books, including bound reprints, by members of the Columbia-Presbyterian Medical Center staff, for which the Library maintains a special collection; congress and symposia proceedings in the biomedical sciences; books on medical subjects printed prior to 1875. NOTE: to offer collections on health sciences, please contact the Health Sciences Library directly at 694-3688.

Excludes: unbound issues of common clinical journals older than two years; superseded editions of textbooks and directories; out-of-scope collections; medical fiction; duplicate copies of materials; abstracts of congresses or meetings; pharmaceutical company commissioned "drug studies"; newletters/newspapers; foreign language clinical textbooks and monographs; unbound reprints of journal articles.

7. MATHEMATICS:

Collects: scholarly, research-level monographs, including current imprints and historical works.

Excludes: practical treatments.

8. PHYSICS and ASTRONOMY:

Collects: scholarly, research-level monographs which support the current teaching program and research.

Excludes: practical treatments.

9. PSYCHOLOGY:

Collects: scholarly, research-level monographs published within the last twenty years on the following subjects: social psychology as it relates to individuals, individual behavior, animal behavior, physiological psychology, child psychology, psychology of creativity (genius), psychometry (testing), cognition, and perception. Of particular interest are scholarly monographs on Sigmund Freud and Carl G. Jung.

Excludes: paperbacks, as well as books in the following subjects: social psychology relating to group behavior; psychoanalysis (except research), psychotherapy (except research), adolescent psychology, psychology of sex/sexuality, the mind, parapsychology, occult, educational psychology, abnormal psychology (criminals, deviant behavior), biographies of psychologists, popular psychology, and psychology of women.



June 1985



Systems and Procedures Exchange Center

STANDALONE APPLICATIONS FOR GIFTS AND EXCHANGE FUNCTIONS - Responses received from the Quick-Spec Survey

National Agricultural Library

"Records of foreign institutions which have exchange agreements with the National Agricultural Library, their addresses, publications received and publications sent, are currently maintained in a card file. An automated system using an IBM-PC with dBase III software has been designed. The data is being input. Additionally, the Exchange Staff uses the IBM-PC with word processing software for generation of form letters, correspondence, and a variety of reports."

Johns Hopkins University

"We have our exchange - partner list and title - list on a word-processor..."

University of Massachusetts at Amherst

"We are using a word processor to generate gift acknowledgments and to maintain historical files."

New York University

" Word processing used for acknowledgement letters."

Cornell University

"We have automated the gifts management operation, the preparation of exchange lists, and are currently programming the exchanges operation. We use an IBM PC and have developed all our programs using dBase II and dBase III."

University of California, Davis

"We have been using a software package available in-house to develop a file of exchanges. At this time we are using it to generate mailing labels. When the file is complete, I think it could provide useful information for collection development as well as providing support for acquisitions procedures."

Case Western Reserve University

"List processing for letters & data files."

University of North Carolina at Chapel Hill

"The only use we are making of automation is the maintenance of our donor list on an IBM-PC using PC File III."

University of Wisconsin - Madison

"Automation is used only peripherally in regards to exchanges; a micro-computer has been used to generate requests for exchange material."

University of Michigan Libraries

"In January 1985 a Zenith 150 Personal Computer and a printer were installed for the Section's sole use. At present a program is being developed to automate the exchange mailing list and to prepare printed labels."

Columbia University

April 1, 1985

A GUIDE TO THE
DECMATE II WORD PROCESSING SYSTEM

Gifts and Exchange Department
Columbia University Libraries

PREFACE

The purpose of this Guide is to introduce you to the DECmate II word processing system, as it is used to prepare and process book lists in the Gifts and Exchange Department. Each chapter contains explanatory material followed by exercise material that will give you practice doing the very word processing tasks that are routine in this department.

The following conventions are used in explaining procedures in this Guide: The key marked **X** Word Char on the DECmate keyboard is referred to as the RUBOUT key. All keys referred to are named in capital letters, and two or more keys may be designated together, separated by slashes (e.g. GOLD/CTRL/RUBOUT). Material to be typed is placed between quotation marks (e.g. "word"). The diamond symbol <> refers to the key in the lower right-hand corner of the DECmate keyboard. A word placed between square brackets is a field name, a code name that is used to sort and list information (e.g. <title>).

References in this Guide to page numbers in various DECmate manuals refer to the November, 1982 edition. The following guides are referred to: The Owner's Manual deals primarily with the physical equipment of the computer system and contains a fine Glossary. The two-volume User's Guide is the main source of information on what the DECmate can do. Vol. 2 contains a Glossary different from that in the Owner's Manual. The two manuals on List Processing and Sort explain the specialized procedures of Listing and Sorting. And the two booklets on the LQP02 Printer and the LQFX2-AA Forms Tractor are helpful in becoming familiar with this equipment.

In 1984, a second copyright edition of the DECmate II manuals was published, which includes two basic loose-leaf binders. Word Processing: The Basics includes the User's Guide material, slightly revised. Word Processing: Options includes the material on Sorting and Listing. Along with the issue of these two new manuals came a new Systems Diskette (which guides the functioning of the word processor), which we now use in this department. The new functions made possible with this new Systems Diskette are described in the Preface, pp. xvi-xviii, of the User's Guide section in The Basics binder. These new functions, however, do not affect the procedures outlined in this Guide.

April 1, 1985

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PROCEDURES FOR HANDLING BOOKS

Gifts and Exchange Department - Columbia University Libraries

A. Receiving Books

1. Gift books
2. De-accessioned and duplicate books
3. Purchased books for exchange

B. Inputting Books

1. Basic record form
2. Recording bibliographic information
3. Selecting a subject category

C. Printing and Circulating Book Lists

1. Sorting, listing and printing
2. Selection officer lists
3. Exchange partner lists

D. Distributing Books

1. To the libraries
2. To searching backlog
3. To exchange partners
4. To room 118 and book sale

A. Receiving Books

1. Gift books - Gifts accepted by the Gifts and Exchange Department are taken directly to room 117 for shelving in ranges that are designated for such gifts. The Department then determines which books should be offered to the university libraries for selection. Remaining books are offered to the Department exchange staff for deciding what should be offered on exchange. Books left over are stored in room 118, from which the book sale staff chooses material to be placed on sale in room 205.

2. De-accessioned and duplicate books - Books that Columbia University libraries de-accession and duplicates that are sent down from the Searching Department should be placed on the Gifts and Exchange shelf in the library mail room (108). Once a week one of our staff examines these books to see which of them are worth offering on exchange or for sale and which are not. The former are brought to the Gifts and Exchange office (103) for selection by the exchange staff; remaining books are then taken to room 118.

3. Purchased books for exchange - From time to time books are purchased or acquired through the expenditure of library funds expressly for the purpose of sending or offering them to our exchange partners. These books are given to the exchange staff for shipment or typing on exchange offer lists.

B. Inputting Books

1. Basic record form - The basic record that is used for recording bibliographic information in the DECmate II word processor includes 9 field names, enclosed in square brackets and followed by a two-bracket end code. After each field name is typed the field value, i.e. the bibliographic information that the preceding field name calls for. A complete record looks like this:

```
<:number>3576
<author>Zhukov, Georgi K.
<title>Marshall Zhukov's greatest battles
<pubinfo>N.Y. : Harper & Row, 1969. 303 p. (2 copies)
<remarks>(Edited with introduction by Harrison E. Salisbury.
Translated from Russian by Theodore Shabad.)
<subject>history
<:entered>84/09/10
<donor>John Brown
<destination>
<>
```

For gift lists, the destination field name is initially left blank. For exchange lists, the number of the list is inserted (e.g. "exch-1984-23").

2. Recording bibliographic information - The number is an accession number that is given to each book or set of books. A number slip is inserted in the top of each book so that the number can be seen. Gift books and exchange books are given accession numbers in a single system and are stored together in 117, in numerical order, until the lists are returned. The author/editor names the author(s) of a book or editor(s) if no author information is available. The title includes the main title and any subtitle that appears on the title page. The title is not underlined. The pubinfo (publication information) includes the place of publication, the publisher's name, the edition number (if other than the first edition), the number of volumes (if more than one), the date of publication, the number of pages, and the number of copies (in parentheses and underlined - if there are more than one copy at hand). The remarks (in parentheses) records additional helpful information about a book, for example:

```
(Story of the author's journey in 1972 across the Sahara
Desert, from the Atlantic to the Nile.)
(Part of series: Introduction to Oriental Civilization, vol.
6.)
(Vol. 1 - Book Index. Vol. 2 - Subject Index. Vol. 3 -
Author Index.)
(Novel.) (Short stories.) (Anthropology.)
```

The subject is the subject category (chosen from seventeen set divisions) that the book would best fit under; book lists display the titles grouped by subject. The date input is the date the book was recorded in the word processor. The donor for a gift book records the donor's name; for other books, "dup" (duplicate) is typed after this field name. The destination shows where a

book has been sent or listed. For a book selected by Avery Library and routed to Searching, "search-Avery" is typed after its field name. The colon in the number and entered field names is included to tell the word processor in sorting that it is working with numbers.

3. Selecting a subject category - The field value typed in after the subject field name must be one of the following (underlined) code word or words:

art - including fine and applied arts (ceramics, crafts, design, photography, etc.), architecture, archaeology

Asia and Africa

economics - including business and related computer technology

Hispanic studies - including Iberian and Latin American languages and literatures; related studies in Spanish and English

history - including biography, memoirs, culture, numismatics, and other related disciplines

library service - including bibliographies, library service, children's literature

literary criticism - including analyses, criticism and history of all literatures in all languages; biographies of authors

literature - including belles-lettres, novels, poetry, short stories; literature in all languages except Hispanic, Asian and African vernacular, and Soviet and East Central European languages

performing arts - including music, theatre, dance, and cinema

philology - including general philology and linguistics, classical languages and literatures

philosophy - including religion and theology

political science

reference - including bibliographies, yearbooks, and guides

sciences - including biological sciences, chemistry, mathematics, physics, health sciences, psychology, geology, engineering, computer and applied technology

social sciences - including anthropology, sociology, geography, journalism, law, education, ethnography

Soviet/ECE studies - including English translations of Russian and East European works, emigré works, works in English on these areas

miscellaneous

The code words must be typed exactly as they appear above, including small and capital letters.

C. Printing and Circulating Book Lists

1. Sorting, listing and printing - After the books for a gift or exchange list are put into a document in the word processor, in record form and in random order, these titles are sorted and listed. Sort processing sorts the records and puts

them into alphabetical order, first by subject, then by author/editor, then by title. List processing then takes various pieces of information from each record and puts them into proper sequence and form for a bibliographic list. In the printed list, then, an entry will appear like this:

- HISTORY -

3576 Zhukov, Georgi K. Marshall Zhukov's greatest battles. -- N.Y. : Harper & Row, 1969. 303 p. (2 copies).

(Edited with introduction by Harrison E. Salisbury.

Translated from Russian by Theodore Shabad.)

One copy of each list is printed on our printer, from which the needed number of copies for distribution are xeroxed.

2. Selection officer lists - Once a month a list of the gift books that are to be offered to the university libraries for selection is printed, xeroxed and sent out to the selection officers. They examine the list and choose the books that they want, whether directly or "only if new" to the library or to Columbia University Libraries. For each book selected, they write on a selection slip the number of the book and the name of the library for which it is wanted. Selection officers may come over at any time to look at any book(s) on the list. They return the slips to the Gifts and Exchange Department for the books that they have selected.

3. Exchange partner lists - Columbia University Libraries has many exchange partners around the world, with whom scholarly materials are exchanged. Periodically (usually about once a week), an exchange offer list is sorted, listed and printed, to be sent out to certain exchange partners for their selection. Exchange partners who receive a list of offers are instructed to write the numbers of the books they select on an exchange order form which is to be returned to Columbia University Libraries within a three-month period following the mailing date of the list.

D. Distributing Books

1. To the libraries - Using the slips returned by the selection officers of the libraries, the Department pulls out those books from the shelves which match the numbers on the slips which are marked "wanted even as added copy". These books are sent directly to the various libraries. In case more than one library has chosen a book, the Gifts and Exchange Department determines which library receives that book. The name of the library to which a book has been sent is then recorded after the destination field name in that book's record in the word processor - in case there is any later question concerning where the book was sent. After one month, however, the record for this book is deleted from the word processor's memory. Books not selected by the university libraries are then offered to the exchange staff for possible inclusion on an exchange offer list.

2. To searching backlog - Books selected by selection officers "only if new" are shelved in a searching backlog area in room 117, awaiting checking by the Searching Department. The selection slip(s) and accession number card are left in each book, and the books are shelved in numerical order. In case more than one library has selected a book, the Gifts and Exchange Department designates to which library that book will be sent in priority. After <destination> in the record, "search-(department name)" is recorded for each book. This way any library can ask for how many books it currently has stored in backlog, if desired. When the Searching Department takes a book from the searching backlog to process it, the record for that book can be deleted from the word processor's memory.

3. To exchange partners - When the exchange order forms have been returned for an exchange offer list and the deadline date for reply has passed, the exchange staff determines which books shall be sent to which partners, depending on the number of requests received for each book and on the needs of each exchange. The books are then pulled from storage in 117 and made ready to take to the library mail room for shipment. On a special numerical list prepared on the word processor for each exchange list, the destination of each book is recorded. After this, all books that were unselected on that list are evaluated as to whether they should be offered a second time on exchange or whether they should be transferred to 118. Finally, the records of all books that have been shipped out or transferred to 118 are deleted from the word processor's memory.

4. To room 118 and book sale - All books that are not wanted by library selection officers and that cannot be offered on exchange by the exchange staff are stored in room 118. From that room the book sale staff selects those books each week that they wish to place in the book sale room (205) for sale to students, faculty, staff, and other library patrons.

LIBRARY DOCUMENT

<<begin>>EXCHANGE OFFER LIST NO. 1984-
Columbia University Libraries, New York, New York
Gifts and Exchange Department

Directions: For items you would like to receive, write those numbers on the accompanying Exchange Order Form and return this to us by air mail, by ... This list is being sent to a number of exchange institutions. Material will be sent out on a first-come, first-served basis. You may keep this list for your records.

Note: Titles in this list are listed alphabetically under the subject headings of ...

<<

<<end>>-----
--

Thank you for your cooperation. We look forward to hearing from you.<<

<<chk-b>>C H E C K L I S T
EXCHANGE OFFER LIST NO. 1984-
Date Sent: - Date Due:
(Entries -)

<<

<<chk-a>>-----
--<<

<<record>><:number>
<author>
<title>
<pubinfo>
<remarks>
<subject>
<:entered>84/
<donor>dup
<destination>exch/1984-
<>

<<

SAMPLES OF INPUT BIBLIOGRAPHIC RECORDS
Gifts and Exchange Department - Columbia University Libraries

<:number>1500
<author>Chafee, Jr., Zechariah.
<title>Freedom's prophet; selected writings of Zechariah Chafee, Jr
<pubinfo>London : Oceana Publications, 1981. 401 p
<remarks>(Edited by E.D. Reed. Dr. Chafee is a University Professor at
Harvard Law School.)
<subject>social sciences
<:entered>84/09/20
<donor>dup
<destination>exch/1984-14
<>

<:number>1501
<author>Adams, Ruth.
<title>Pennsylvania Dutch art
<pubinfo>Cleveland : World Publishing Co., 1950. 64 p
<remarks>(Part of series: The American arts library.)
<subject>art
<:entered>84/09/20
<donor>dup
<destination>exch/1984-14.
<>

<:number>1502
<author>Woolcott, Alexander, ed.
<title>The Woolcott reader; bypaths in the realms of gold
<pubinfo>N.Y. : Viking Press, 1935. 1010 p
<remarks>(Short stories by Thornton Wilder, H.H. Munro, Truman Capote,
and a number of other authors.)
<subject>literature
<:entered>84/09/20
<donor>dup
<destination>exch/1984-14
<>

<:number>1503
<author>De Huszar, George B., ed.
<title>The intellectuals; a controversial portrait
<pubinfo>Glencoe, Ill. : Free Press, 1960. 543 p
<remarks>(Intellectuals on intellectuals, from Kierkegaard to de
Toqueville.)
<subject>philosophy
<:entered>84/09/20
<donor>dup
<destination>exch/1984-14
<>

SELECTION OFFER LIST - NO. 18
Gifts and Exchange Department - Columbia University Libraries
(April 10, 1985)

To: All Library Selection Officers

The following list of gifts is arranged by subject, then by author/editor, then by title. The number at the beginning of each entry is the number under which the book (or set of books) has been shelved. To select a title that you want for your department, use one of the Gifts and Exchange selection slips enclosed with this list. More slips are available in the Supply Room. Write in the upper right-hand corner the shelving number for that title. Then write the appropriate library code (e.g. GLX, LEH, AVE, etc.) on the line you wish to designate.

If a title is wanted "only if new to this department", please search your departmental records to determine whether or not you already have it. Please complete all parts of the selection slip, including the number of the title, the destination, your SID initials, one of the four conditions, and the date. G&E cannot process your requests unless you complete the slips.

You may keep this list for your own records. We will use the returned slips to locate the selected books so that they can be sent to you or to Searching and to update our records. All books on this list which are not selected for the Columbia library collections by the due date below become available for offering on exchange.

The due date for returning your selection slips on this list to the Gifts and Exchange Department is: April 25, 1985.

We use this list of subject headings in sorting and listing:

art - including fine and applied arts, architecture, archaeology
Asia and Africa

economics - including business

Hispanic studies - including Iberian and Latin American languages
and literatures

history - including biography, memoirs, and other related
disciplines

library service - including bibliographies, library service,
children's literature

literary criticism - including analyses, criticism and history of
all literatures in all languages; biographies of authors

literature - including belles-lettres, novels, poetry, short
stories; in English and other languages

miscellaneous

performing arts - including music, theatre, dance and cinema

philology - including general philology and linguistics, classical
languages and literature

philosophy - including religion

political science

reference

sciences - including biological sciences, chemistry, mathematics,
physics, health sciences, psychology, geology, engineering,
computer and applied technology

social sciences - including anthropology, sociology, geography,
journalism, law, education

Soviet/ECE studies - including emigré publications

EXCHANGE OFFER LIST NO. 1984-33
Columbia University Libraries, New York, New York
Gifts and Exchange Department

Directions: For items you would like to receive, write those numbers on the accompanying Exchange Order Form and return this to us by air mail, by **February 1, 1985**. This list is being sent to a number of exchange institutions. Material will be sent out on a first-come, first-served basis. You may keep this list for your records.

Note: Titles in this list are listed alphabetically under the subject headings of art, Asia and Africa, economics, history, literature, performing arts, political science, reference, sciences, and social sciences.

ART

- 5040 Adams, Alexander B. John James Audubon. A biography. -- N.Y. : G.P. Putnam's Sons, 1966. 510 p. (Biography of the American ornithologist and bird painter, 1785-1851.)
- 5014 Boswell Jr., Peyton. Modern American painting. -- N.Y. : Dodd, Mead and Co., 1939. 200 p. (With 86 color illustrations.)
- 4988 Friedländer, Max J. On art and connoisseurship. -- Boston : Beacon Press, 1960. 284 p. (Translated from the author's manuscript by Tancred Borenius.)
- 5013 Grassi, Virgilio. Le contrade di Siena e le loro feste - il palio attuale. -- Siena : Edizione U. Periccioli, 1973. 268 p. (Includes prints and text.)
- 4986 Lee-Elliott, Theyre. Paintings of the ballet. -- London : Collins, 1947. 91 p.
- 4983 Morgan, Charles H. The life of Michelangelo. -- N.Y. : Reynal & Co., 1960. 254 p.
- 5012 Pratt, Richard. A treasury of early American homes. -- N.Y. : McGraw-Hill Book Co., 1949. 136 p. (Includes color prints and commentary.)
- 4987 Selz, Peter. Max Beckman. -- N.Y. : Museum of Modern Art, n.d. 160 p. (Includes prints and commentary.)
- 4989 Uhde-Bernay, Hermann, ed. Künstlerbriefe über Kunst : Bekenntnisse von Malern, Architekten und Bildhauern aus fünf Jahrhunderten. -- Frankfurt am Main : Büchergilde Gutenberg, 1962. 712 p.

4908 Wilson, Leslie, ed. Methods in cell biology. -- N.Y. : Academic Press, 1982. Vol. 25: the cytoskeleton; part. B - biological systems and in vitro models, 426 p. (Prepared under the auspices of the American Society for Cell Biology.)

SOCIAL SCIENCES

5016 Cross, Harry E., and James A Sandos. Across the border : rural development in Mexico and recent migration to the United States. -- Berkeley : Institute of Governmental Studies, 1981. 198 p.

5020 Lappé, Francis Moore, and Joseph Collins. Food first : beyond the myth of scarcity. -- N.Y. : Ballantine Books, 1979. 619 p. (Examines the policies and politics that have kept and continue to keep starving peoples from feeding themselves.)

5027 Sachs, Gerd. Unternehmen im spiegel der presse. -- München : Verlag V. Florentz, 1980. 207 p. (Part of series: Wirtschafts-wissenschaftliche Forschung und Entwicklung, no. 42. From a dissertation.)

5017 Judgments of the Administrative Tribunal of the International Labour Organization : 48th Ordinary Session, May 1982. -- Geneva : International Labour Office, 1982. 200 p.

5022 School radio in Europe . -- N.Y. : K.G. Saur, 1979. 198 p. (A documentation with contributions given at the European School Radio Conference, Munich, 1977. Edited by Internationales Zentralinstitut für das Jugend-und Bildungsfernsehen.)

Thank you for your cooperation. We look forward to hearing from you.

LIBRARY 4900 1238
CHECKLIST
EXCHANGE OFFER LIST NO. 1984-33
Date Sent: 10/31/84 - Date Due: 2/1/85
(Entries 4908-5106)

4908 Wilson, Leslie, ed. Methods in cell biology. -- N.Y. : Academic Press, 1982. Vol. 25: the cytoskeleton; part. B - biological systems and in vitro models, 426 p. (Prepared under the auspices of the American Society for Cell Biology.)

4909 Walter, Alan E., and Albert B. Reynolds. Fast breeder reactors. -- N.Y. : Pergamon Press, 1981. 852 p. (Nuclear energy.)

4910 Dutton, P. Leslie, et al., eds. Frontiers of biological energetics. -- N.Y. : Academic Press, 1978. Vol. 1: electrons to tissues, 797 p.

4911 Weekes, Claire. Hope and help for your nerves. -- N.Y. : Hawthorn Books, 1969. 183 p. (A doctor's new approach for overcoming the causes and symptoms of nervous illness and anxiety.)

4912 Cohn, Waldo E., ed. Progress in nucleic acid research and molecular biology. -- N.Y. : Academic Press, vol. 27, 1982. 303 p.

4913 Bourne, G.H., and J.F. Danielli, eds. International review of cytology. -- N.Y. : Academic Press, vol. 76, 1982. 337 p.

4914 Spero, Joan Edelman. The politics of international economic relations. -- N.Y. : St. Martin's Press, 1977. 326 p.

4915 Eisner, Robert. Factors in business investment. -- Cambridge, Mass. : National Bureau of Economic Research/Ballinger Publishing Co., 1978. 219 p. (National Bureau of Economic Research general series, no. 102.)

4916 Johnson, Marcia K., and Robert M. Liebert. Statistics; tool of the behavioral sciences. -- Englewood Cliffs, N.J. : Prentice-Hall, 1977. 237 p.

4917 Malik, Henrick J., and Kenneth Mullen. Applied statistics for business economics. -- Reading, Mass. : Addison Wesley Publishing Co., 1975. c.450 p.

4918 Meyer, Richard Hemmig. Bankers' diplomacy; monetary stabilization in the twenties. -- N.Y. : Columbia University Press, 1970. 170 p. (Columbia studies in economics, no. 4.)

4919 Murphy, J. Carter. The international monetary system; beyond the first stage of reform. -- Washington, D.C. : American Enterprise for Public Policy Research, 1979. 276 p. (AEI studies, no. 259.)

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SAMPLE SELECTION SLIPS USED

Columbia University Libraries

TO: BOOK ACQ, 202 5011 Butler

DEST FAX

SID 2B

FUND _____

SUPN _____ } OR ☒ gif
N/A

Wanted under following conditions (check one):

☒ Even as added copy.

_____ Only if new to dept.

_____ Only if new to CUL.

_____ Other:

11/15/84
DATE

Use (in place of D102 and R60) with books sent to Book Acquisitions for accessioning and further processing--RLIN entry, cataloging, etc. GIFTS: If selecting from GLE gift list, please also write the item number in top right corner; return slips to GLE.
Obtain slips from supply room. Add colored priority slip if necessary. Insert in front cover of book.
SUPN=supplier name; gift or unk (for unknown or don't care) can be suppliers. SID=selector ID. FUND and SUPN can be blank if item is gift. Use authorized codes for Destination, SID, FUND. Use code or name for SUPN.
D106.1 10/84

Columbia University Libraries SELECTION SLIP FOR GIFT & EXCHANGE MATERIALS

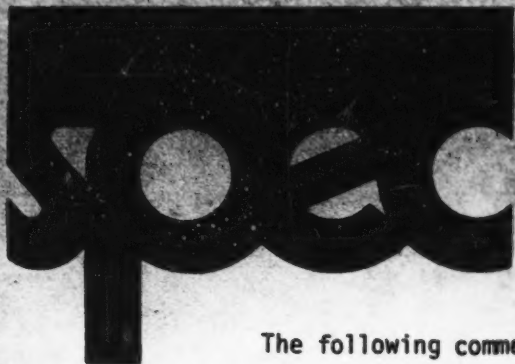
5127

Wanted for _____ only if new to this Dept.
(Library name)
Wanted for _____ even as added copy.
(Library name)
Wanted for _____ uncataloged.
(Library name)
Wanted for _____ only if new to Columbia.
(Library name)
Wanted for further examination in _____
(Library name)
Not wanted in _____, but offer to _____
(Library name)

R60

58

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June 1985

Serials and Procedures Exchange Center

The following comments on the reorganization of gifts and exchange units are quoted from the responses received from the Quick-SPEC Survey on Gifts and Exchanges Functions.

Johns Hopkins University

"The exchange operation was part of the Serials Department, which merged with the Acquisitions Dept. 6 years ago. Responsibility for exchange maintenance has generally been part of the duties of the Assistant Head of Acquisitions."

Northwestern University Library

"G & E remains in Acquisitions and is primarily devoted to processing mechanics. Solicitation is done by selectors and the Library Development Office. The professional position was eliminated in 1982 leaving a current staff of one (1) full-time library assistant, who reports to the Head of the Acquisitions Department, and .75 FTE part-time student assistance."

University of Wisconsin - Madison

"Exchanges are now highly decentralized. Costs associated with the purchase of University of Wisconsin Press and other publications were previously charged to a general fund; they are now charged to individual selectors depending on the nature of the material received in exchange for them."

Michigan State University Libraries

"Gifts and Exchanges became Gifts in 1983, when a professional new to the institution was hired. It moved from Technical Services to Resources/Collection Development as the new function is closely related to book selection and bibliography. Exchanges became part of Serials. Staffing was increased by the addition of a full-time prof'l. who reports to the Head Bibliographer."

Arizona State University

"The Gifts & Exchange Unit within the Acquisitions Dept. was abolished. The result has been that the little work that is done in these areas must be accomplished without the facilities, personnel, or other traditional forms of support."

University of Cincinnati

"Staffing reduced by 1/2 position. Within the next year the Gifts program will be merged with Acquisitions."

Georgia Institute of Technology

"Gifts are now part of collection development and acquisitions. They were handled by Archives prior to 2/1/85."

Wayne State University

"We have four library units within the Library System, and gifts/exchange operations have been decentralized."

University of Washington

"There has been some staff reduction as a result of budget cuts."

Smithsonian Institution

"Staffing has been reduced as has the level of grade of the one-person staff."

Louisiana State University

"The Gifts and Exchange Department has been placed under the administration of the Order Department. The professional position which headed this Department has been replaced by a Library Associate. The number of full-time staff remains at two."

Tulane University

"Until approximately three years ago the Gifts and Exchange Area was under the direct supervision of the University Librarian's Office; since then the Exchange operation has been made part of the Serials Department while the Gifts operation has functioned as an arm of the Monographs-Acquisitions Department."

University of Oregon

"Staffing has been reduced because of general reorganization. Gifts, a separate section, was physically merged with Acquisitions and the gift functions went to Collection Development for books and journals and to Special Collections for manuscripts and rare materials."

University of Toronto

"Staff: Until 1978 the Gifts Section consisted of three people: a Librarian, a Library Technician, and a Clerk Typist. In that year the Librarian position was eliminated. The Library Technician position was upgraded from level 4 to level 5 and the incumbent became Section Head."

"Work Load: In 1974, the Gifts Section ceased almost all duplicate exchanges with other libraries. U. of T. duplicate materials were then, and still are, shipped to the National Library in Ottawa which runs a nation-wide duplicate exchange program."

"In 1978, a centralized 'Serials Wants' program in Gifts was disbanded but it was resumed in 1985."

"Until 1982, the function of searching gifts was done outside the department, after which it became the function of the Gifts Section. In 1983, the Clerk Typist assumed some searching duties."

National Research Council, Canada

"Exchanges and Gifts was always an integral part of Acquisitions, which includes Collection Development. In 1979 the librarian for Exchanges retired and the position was transferred elsewhere, leaving the other member of the unit in charge. The position is non-professional but the Head or Assistant Head of Acquisitions is consulted as required."

University of Colorado, Boulder

"Gifts and exchanges was in the (monographic) Acquisitions Department until about 1980. Then, following the loss of the one FTE support staff member, responsibilities were distributed within the Acquisitions and Serials Departments."

University of British Columbia

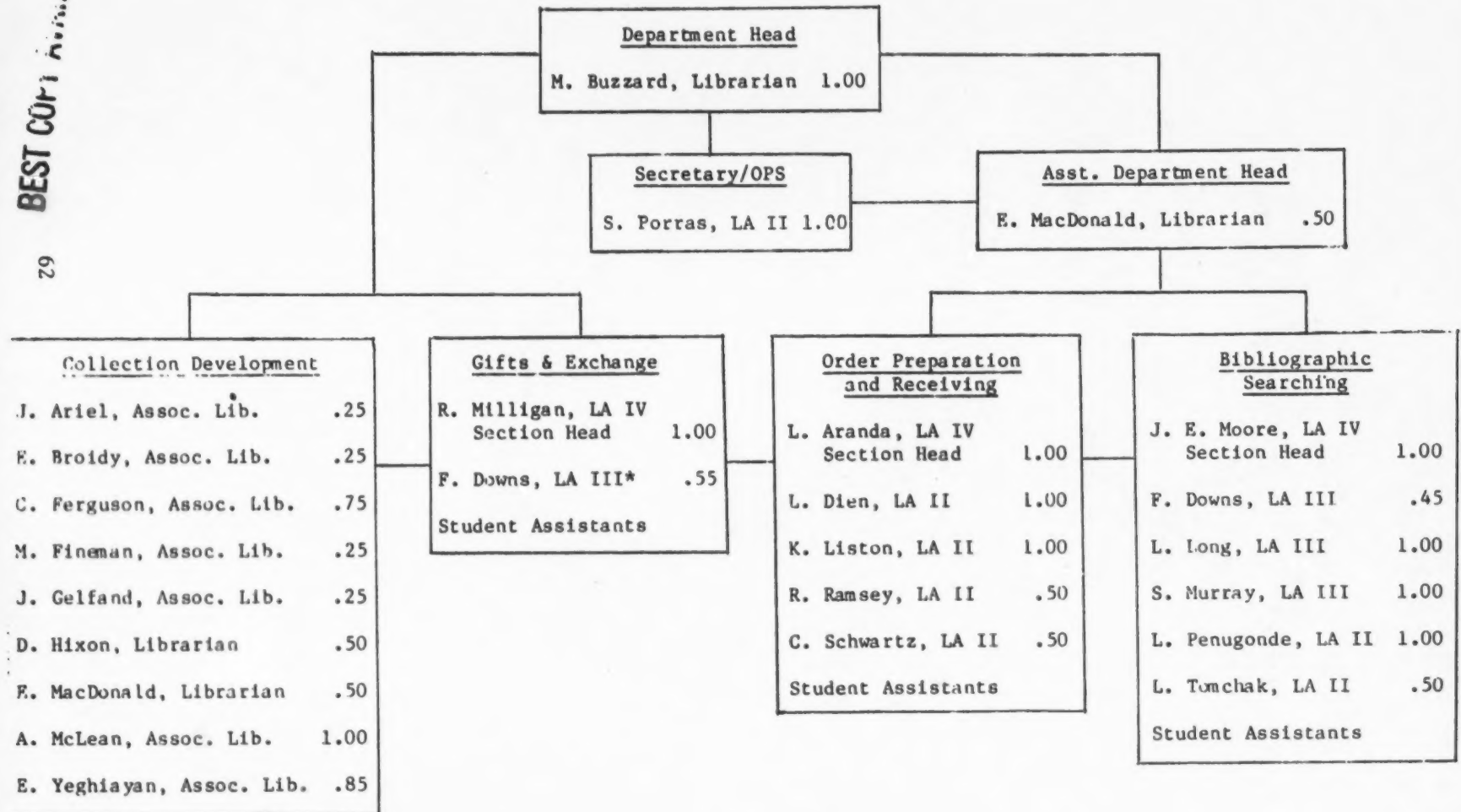
"In 1981 we lost our Library Assistant II. As a result we had to discontinue compiling and circulating exchange lists for books and periodicals."

University of California - Irvine

ORGANIZATION CHART FOR COLLECTION DEVELOPMENT AND ACQUISITIONS DEPARTMENT

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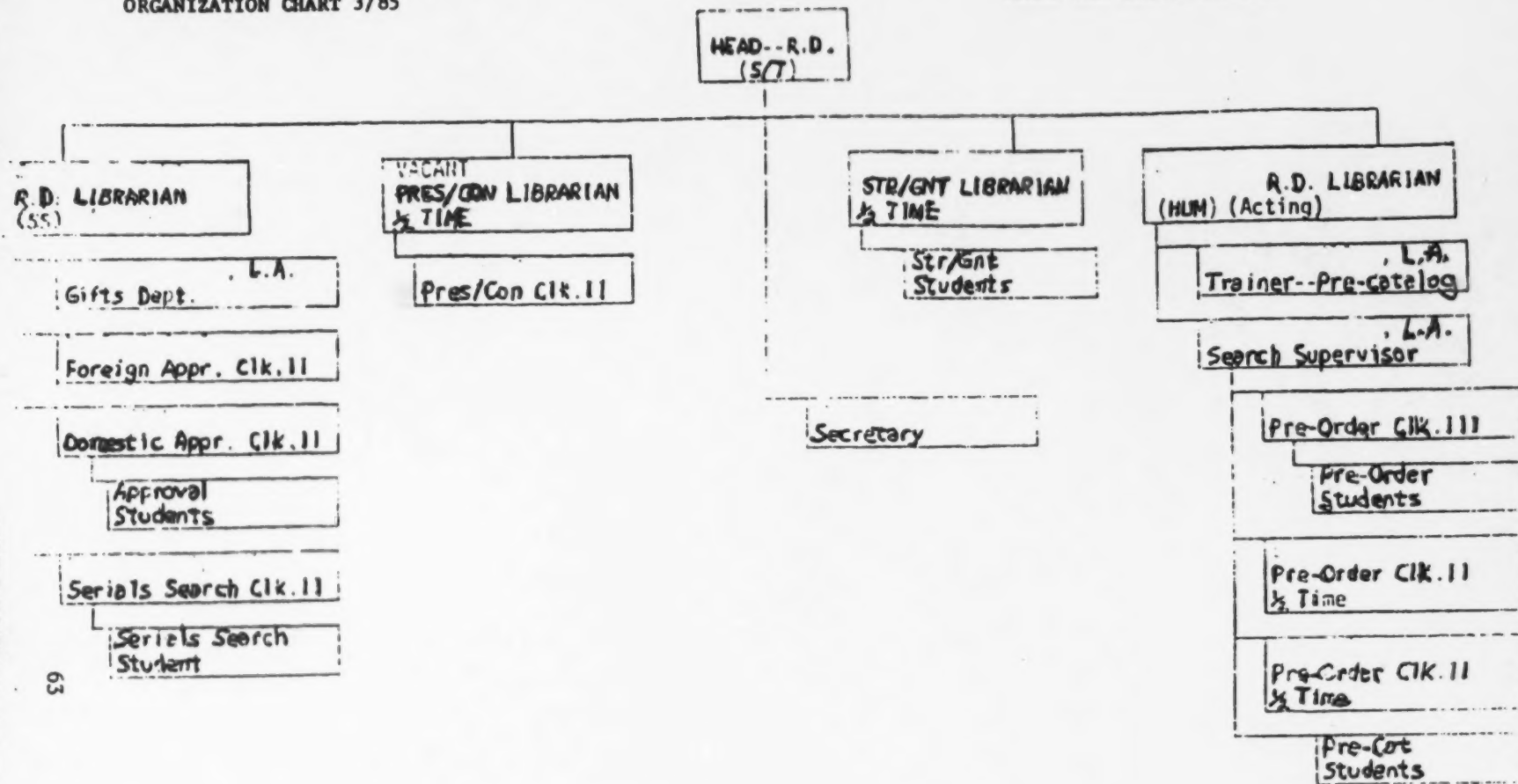
29



*E. MacDonald continues as supervisor for Exchange portion of duties.

RESOURCE DEVELOPMENT DIVISION
ORGANIZATION CHART 3/85

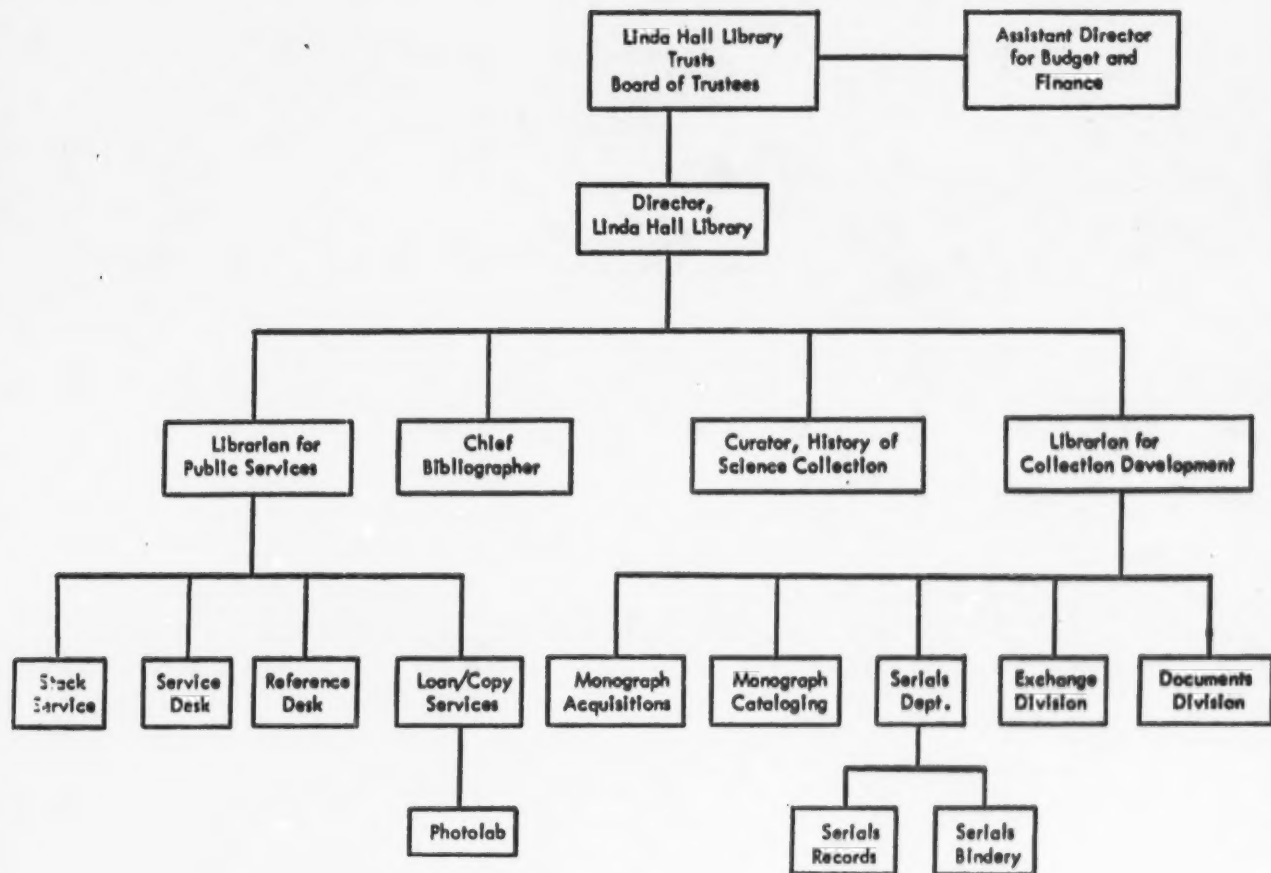
EVANS LIBRARY
TEXAS A&M UNIV. LIBRARY



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LINDA HALL



COLORADO STATE UNIVERSITY LIBRARIES

SPEC QUESTIONNAIRE ON GIFTS

1. Brief Organization Changes:

The Gifts and Exchanges Section is part of the Acquisitions Department in the Technical Services Division of the Libraries. The Acquisitions Department consists of three sections: 1) a gifts and exchanges section, 2) a bibliographic searching section for pre-order and pre-cataloging searching, and 3) a monograph ordering section. The Serials Department is not part of the Acquisitions Department. Selection of materials is the responsibility of another Division, the Collection Services Division.

Since 1976, there have been various changes in the staffing of the gifts and exchanges section.

- a. In 1976, the Section was staffed with a professional librarian known as the Gifts and Exchanges Librarian, who was assisted part-time by a paraprofessional staff member shared with another department.
- b. In 1979, one full-time Library Assistant I-A--a beginning level position--was added to the Section to handle the daily clerical work.
- c. In 1983, the professional duties of the Gifts and Exchanges Librarian were re-evaluated; to add more professional duties to the job, the position was retitled Assistant Acquisitions Librarian and given more responsibility in other areas of the Acquisitions Department (see attached Job Description).
- d. When the position of Assistant Acquisitions Librarian became vacant in 1984, the entire gifts and exchanges staffing and duties of the Section were thoroughly re-examined. As a result, we concluded that most daily activities within the section did not require a professional librarian, particularly as the decisions regarding the selection of materials are referred to subject librarians in the Collection Services Division. Thus, the professional position in the Section was declassified to a high level paraprofessional position--a Library Assistant II (see attached Job Description). A Library Assistant II is allowed to supervise a unit and make decisions within the policies of the Department. The Library Assistant I-A position was retained to help handle the large amount of sorting, listing, checking, etc., that gift materials require (see attached Job Description). (For general summary, see attached SM: 4(84) (rev.)).

2. Automation

Gifts and exchanges are partially automated at this time. CSU uses the RLIN Acquisitions Subsystem for ordering monographs and serials and for establishing a centralized online file of monograph titles in process. At the present, automated records for gifts are only created when the title is put into holdings awaiting cataloging copy. By the beginning of the next fiscal year, the Department plans to create an online acquisitions record for each gift title at the point it is accepted for the collection.



THE UNIVERSITY OF NORTH CAROLINA
AT
CHAPEL HILL

The University of North Carolina at Chapel Hill
Davis Library 080-A
Chapel Hill, N.C. 27514

TO: Julieann V. Nilson
Head Acquisitions Department
The University Libraries
Indiana University
Bloomington, IN 47404

FROM: Janet L. Flowers *JLF*
Head Acquisitions Department
Davis Library 080A
University of North Carolina at Chapel Hill
Chapel Hill, NC 27514

DATE: March 14, 1985

RE: SPEC Kit Survey

1. In 1976, Gifts and Exchanges was a separate section, one of three, in the Acquisitions Department. The staff at that time consisted of one Librarian, one Library Assistant, and student assistant help. The Librarian was also responsible for acquiring out of print materials on the op market.

In 1981, the Librarian resigned and the position was transferred to the Catalog Department. In exchange, a Library Assistant position was transferred to the Order Section. That left only the Library Assistant in the Gifts and Exchange/OP Section. The assistant, whose position was absorbed into the Order Section, assumed responsibility for the out of print process. The Head of Acquisitions became the "Gifts Librarian" with a student to help with the physical handling and pre-searching of gifts material.

In 1983, the Head of the Order Section was asked to become the "Gifts Librarian" which is the arrangement in effect today.

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In the midst of these changes, our exchange program for non-area studies was neglected.* In 1982, the Head of the Serials Department volunteered to begin a project to clean up our exchange records.** The Serials Department is still working on this project although official responsibility resides with Acquisitions.

The Gifts Librarian is responsible for donor contact, arrangements for delivery and receipt of the material, sorting for review by the bibliographers, acknowledgement, pre-searching of items selected and disposal of unwanted materials. The final searching of materials to be added is handled by the Searching Section of Acquisitions. Of course, the special collection curators and the departmental librarians also are involved in the preliminary aspects of the gifts process with the final searching done by the Searching Section.

As our "Gifts Librarian" is also the Head of a major section, she has little time to devote to the gifts area. Therefore, we do not have any documents or reports that we think are worth sharing at this time.

2. The only use we are making of automation is the maintenance of our donor list on an IBM-PC using PC File III.
3. Our materials budget has increased over the past nine years, so the role of gifts (at least in terms of material) has remained essentially the same. Our non-area studies exchange program, on the other hand, has diminished considerably. We have not established any new exchange programs since 1982. The primary reason for this decline is that several campus publications used on exchange have changed from free to paid subscriptions. Thus many of our exchanges were no longer cost effective.

*The non-area studies exchange programs (East Asian, Latin American, and Slavic), which are handled by the Area Bibliographers in Collection Development, are quite active.

**The Acquisitions Department houses the exchange partner agreements whereas the Serials Department has the check-in records.

3304 HAVA Y400 T238

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QUICK-SPEC ON GIFTS AND EXCHANGES FUNCTIONS

National Agricultural Library

1. BRIEFLY DESCRIBE ORGANIZATIONAL CHANGES IN YOUR GIFTS AND EXCHANGES OPERATIONS SINCE 1976.

The basic organizational structure of the Gift and Exchange Unit of the National Agricultural Library has changed slightly since 1976. The current staff consists of one Technical Information Specialist, one Librarian, two Library Technicians, and one Student Aide, who works only summers and semester breaks. This represents the addition of one Technical Information Specialist and a reduction of the number of Library Technicians supporting the unit. In 1976 there were 1.5 FTE Librarians and 4.5 FTE Technical Support positions in the unit; in 1985 there are 2.0 FTE Librarians and 2.3 FTE Technical Support positions. For two years the Exchange Unit utilized the services of two full time contract employees, who focused on tasks related to updating the files of exchange partner addresses. Although their contributions did not directly affect the workload, the improvement of exchange records significantly enhances the function of this unit.

This staff maintains over 5000 exchange partnerships in 140 countries. It is estimated that sixty percent of NAL's serial titles and a significant number of monographs are received through the Exchange Program. Some exchange agreements primarily involve monograph exchanges. In addition to USDA documents, other publications which are surplus to the needs of NAL are used in the Exchange Program.

In comparison to the 1976 report, it appears that the number of exchange partnerships has been drastically reduced. Actually, the file was purged of "exchange" partners who sent no publications to the National Agricultural Library, but received USDA documents. The current number of true exchange partnerships is probably very near or slightly higher than in 1976.

In 1981, the Exchange and Gift Unit was transferred from the Serials Branch to the Acquisitions Branch. Because most publications received on an exchange basis are serial titles, the unit continues to work very closely with the the Serials Branch, but functions as an integral part of the Acquisitions Branch.

2. IS YOUR LIBRARY USING AUTOMATION TO SUPPORT GIFTS AND EXCHANGES OPERATIONS? BRIEFLY DESCRIBE AUTOMATION CHANGES.

The Exchange unit contributes information to several of NAL's automated systems, and is developing its own database. There is an automated file of serial titles which includes information on the publication source. The Exchange Staff provides the source information to the Serials Branch, where it is added to this database, which is used by all branches of NAL. Another file lists sources of serial titles and one five digit code for each source. The five digit code is used in other automated files to identify publication source. This file, used primarily by the Serials and Acquisitions Branches, is maintained by the Exchange staff.

Individual agencies of the USDA provide and mail their publications which are offered through the Exchange Program. These agencies receive mailing labels from the Departmental Mailing List System (DMLS) which is operated by yet another agency. The NAL Exchange Unit adds, deletes, or changes exchange partner addresses as necessary in the automated DMLS.

Records of foreign institutions which have exchange agreements with the National Agricultural Library, their addresses, publications received and publications sent, are currently maintained in a card file. An automated system using an IBM-PC with dBase III software has been designed. The data is being input. Additionally, the Exchange Staff uses the IBM-PC with word processing software for generation of form letters, correspondence, and a variety of reports.

The two NAL files and one departmental file to which the Exchange Unit contributes information are part of larger systems; the exchange record database being developed on the IBM-PC will be a standalone system.

3. HAVE THE PRIORITIES AND PURPOSES OF GIFTS AND EXCHANGES PROGRAMS CHANGED IN THE PAST NINE YEARS?

The importance of the Exchange Unit and the acquisition of material without using book funds has heightened with the continuing decline in resources.

NAL depends on individual agencies of the USDA to provide publications for its Exchange Program. The 1982 change in departmental policy regarding publication distribution has resulted in severe reductions in numbers of documents printed, so that the Exchange Program must be more selective about exchange agreements and must assure agencies that NAL adds substantial publications to its collection as a result of the material provided.

4. HAS THE TAX REFORM ACT OF 1984 CAUSED YOU TO ISSUE NEW GUIDELINES FOR THE ACCEPTANCE, EVALUATION, AND RECORD-KEEPING FOR GIFTS?

As of March 1985, the National Agricultural Library has formed a committee to consider the impact of PL 98-369 and to make policy recommendations.

SUSAN H. FUGATE
NATIONAL AGRICULTURAL LIBRARY
BELTSVILLE, MARYLAND
(301) 344-3645

APRIL 1985

To: Mrs. Good, Associate Librarian



From: Dianne Cook, Acquisitions Librarian

Queen's University Memorandum

Date: February 26, 1982

Subject: Reorganization of staff in Monograph Orders

We have recommended that the LT4 Customs and Receiving position (no. 58) in Monograph Orders be declared redundant and that the work of the section be reorganized in the following manner: *This actually remained with the former gift & exchange person.*

1. The searching of gift lists, the National Library exchange lists, and received gifts should be moved from Peter Dickson's position (no. 42) and added to Search section duties.
2. Since we normally find that the Library needs only about 20% or less of gift material offered, we should be more selective in accepting gifts. We would like to establish a policy that no one may accept gifts except the Acquisitions Librarian, the Order/Search Librarian, or yourself. In this way, we would know that the person accepting the gift would have balanced the value of the material offered against the cost of processing it through Acquisitions and Cataloguing.
3. Material or lists accepted for searching should normally be given low priority after the regular work of spending the operational budget and special grants within the required deadlines.
4. Acquisitions should not be responsible for picking up or delivering gift material. This should be done either by Mailroom staff or by cartage companies hired to do each specific job.
5. Typing of bookplates, mailing labels, and acknowledgement cards should be done by the Monograph Order typists. By the introduction of self-adhesive bookplates and a new method of producing mailing labels, we expect that the additional workload for our already busy typists would be kept to a minimum.
6. Parcelling of exchange material should be done by Mailroom staff.
7. Distribution of Hazelgrove indexes to Ontario county atlases should be done by Special Collections staff. Proceeds of index sales should be delivered to me, and I would ask the Invoice and Receiving Assistant to deposit the money into the Hazelgrove account.
8. A portion of the receiving work should be transferred to Nan Craig (position 47). Our plan is to have Nan do the blanket order receiving and maintain the blanket order file.
9. In order partially to offset the addition to Nan's workload, we would order more of our North American material from Coutts. This would give the Invoice and Receiving Assistant a small increase in workload but no noticeable increase in problems or correspondence.
10. To clear material through Customs, the Senior Assistant, Monograph Orders would have the typists type up the appropriate forms. Either the Senior Assistant, Monograph Orders, or the Order/Search Librarian would visit the Customs Office as required.

Mrs Good



Queens University Memorandum

From: Dianne Cook

Date: February 26, 1982

Subject: Reorganization of staff in Monograph Orders page 2

11. In place of the duties removed from the Gifts and Exchange Assistant (see 1. - 7.) Peter Dickson should be responsible for some receiving and for working with the Order/Search Librarian to obtain monograph desiderata items. This would not be a simple transfer of work formerly done in position 58. For some time, we have been concerned about our failure to follow up adequately on requests for out-of-print material. The problem was that the work involved was too complicated to give to an LT4, while the Order/Search Librarian did not have time to do it. With LT5 time available, we should be able to try several different methods of obtaining material as well as to make appropriate judgements about how much time each item merits. It would seem appropriate to combine work on the monograph desiderata file with receiving of out of print material.

We believe this reorganization would solve the problem of Receiving staff sometimes not having enough to do, and would ensure that more of Peter Dickson's time is spent on LT5 level work. We recommend that Peter's title be changed from Gifts and Exchange Assistant to Monograph Orders Assistant, since he would do theses, desiderata, and some receiving in addition to his gifts and exchange duties. Margaret Clark and Barbara de St Remy have been consulted about changes affecting their areas, and have raised no objections.

Dianne Cook

Account # _____

Date Completed: 11/84

Position # 2554, 2623, 2667, 2635, 2562

Campus Telephone No. _____

Current Rank CL 05

Campus Location _____

INDIANA UNIVERSITY

JOB DESCRIPTION QUESTIONNAIRE
for
Clerical/Technical Employees

Your Name _____ Current Position Title Acquisitions Assistant for Collection Development

Department Acquisitions Department Head _____

Immediate Supervisor _____ School or Division Libraries

*Read enclosed instructional sheet before starting.

What are your normal working hours? Flexible schedule available

I. In 2 or 3 sentences give a general summary of the purpose of your position:

Search, verify, edit, and annotate incoming firm orders for monographic book and non-book materials in all languages and alphabets; provide pre-catalog bibliographic and holdings information for accepted gift materials; obtain, select, and offer materials through established programs with exchange partners; identify, obtain, and replace printed bibliographies and catalogs needed; and supervise and train students in performing various tasks needed to support the work of the section.

II. Statement of duties and responsibilities:

Time spent
on each duty.

A. Daily or near daily (Please show approximate time spent on each duty, either as a percentage, hours per day or hours per week.)

100 %

1. Search, verify, edit, and annotate incoming firm orders for monographic book and non-book materials in all languages and alphabets for the Bloomington main and branch libraries.
 - a. Identify duplicates of materials already part of the collection or on order to be added to the collection. Pursue locating information through printed bibliographies, on-line sources, (OCLC, BIP, LC), card files, Kardex records, machine generated lists, and COM catalogs.
 - b. Identify and forward to the Government Publications Department, titles which are published by state, national, and international government agencies.
 - c. Identify and forward to the Serials Department, titles which are published in a serial fashion, excluding incidental pieces of a series.

(Please see continuation page 1)

- Item II.A.1 cont'd:
- d. Identify and establish an entry and bibliographic description in accordance with national rules for entry and description as interpreted by the Library of Congress.
 - e. Provide correct and accurate bibliographic citations of sufficient detail that the vendor can identify the work precisely and supply the title requested.
 - f. Decide when enough information is present and when additional information must be obtained. Locate and provide that information from bibliographic sources and through direct contact with fund managers and selection officers.
 - g. Review and edit the work prepared by other members of the section and annotate it to a local standard required for order preparation.
 - h. Return duplicate requests to fund managers with the detailed information needed to assist them in deciding to place a duplicate order.
 - i. Participate in handling the rush order requests which require 24 hour processing.

- II.A.2 Provide pre-catalog bibliographic and holdings information for accepted gift materials.
- a. Using OCLC, the Indiana University Libraries manual catalogs, and the IU system COM catalog, search accepted gift materials to establish a correct, accurate entry and holdings information.
 - b. Identify the title as an added copy, an added volume, or new to the collections.
 - c. Process and route the remaining materials to the Automated Processing, Cataloging, Government Publications, Serials, or Special Languages Cataloging departments.

- II.A.3 Obtain, select, and offer materials through established programs with exchange partners.
- a. Correspond with specific partners to resolve problems, identify collection needs, and provide information.
 - b. Select titles from the duplicate gift collection which are appropriate to the collections of specific partners, prepare letters and annotated lists offering the titles for exchange, and monitor each program to maintain a financial and/or numeric balance of activity.
 - c. Select titles from incoming exchange shipments to offer to specific collections and branch libraries.

(please see continuation page 2)

- Item II.A.3 cont'd:
- d. Serve as the vendor contact person for those exchange programs where Indiana University purchases specific titles at the request of a partner.
 - e. Maintain the required statistical/accounting records appropriate to each exchange.
 - f. Prepare reports of exchange activity with each partner for use in collection development.
 - g. Negotiate satisfactory solutions to complaints from exchange partners.

- II.A.4 Supervise and train students in performing various tasks needed to support the work of this section.
- a. Preparing orders from selection tools, dealers' catalogs, and exchange lists.
 - (1) Locating and printing copy from OCLC.
 - (2) Typing book purchase requests from various printed sources.
 - (3) Distributing notices to fund managers of orders placed.
 - b. Preparing and processing non-Roman alphabet materials received in the department.
 - (1) Unpacking and check-in of non-Roman alphabet materials (Chinese, Japanese, Korean, Cyrillic alphabet, and middle Eastern language materials).
 - (2) Matching of title pages with romanized/transliterated records to identify that the material ordered was the material received.
 - (3) Matching of non-Roman alphabet title pages and romanized records with invoices (which may be in either form) to confirm that the materials received are those that are being billed and to initiate claims.
 - c. Processing of monographic materials received from the Serials and Government Publications departments, through exchange, or on blanket order.
 - (1) Preparing bibliographically correct control records for these materials.
 - (2) Preparing transliterated or romanized control records from the title pages of non-Roman alphabet materials.
 - (3) Searching for and identifying duplicates received on blanket order.
 - (4) Identifying serials and government publications received through exchange or on blanket order and directing them to the appropriate department.
 - d. Typing lists of materials to offer to exchange partners.
(please see continuation page 3)

Item II.A.5

Identify, obtain, and replace printed bibliographies and catalogs needed to support the work of this section.

- a. Obtain current materials to replace outdated ones.
- b. Identify new bibliographies and catalogs to be used and recommend their purchase.
- c. Replace superceded issues of national bibliographies and initiate the claims process for missing issues.
- d. As appropriate, send earlier volumes of national bibliographies to the Reference Department or the general collections.

II.A.6 Perform other related duties as assigned.

- B. Periodic (Please show approximate hours per task.)
1. Participate in training new full-time section staff.(varies)
 2. Participate in weekly section meetings.
 3. Interview, hire, evaluate student employees. (2-3 times per year)
 4. Prepare and verify payroll information for student employees. (bi-weekly)
 5. Resolve bibliographic problems returned from the process file. (varies)
 6. Provide reference assistance for process file questions.(varies)
- C. Non-routine (Please show approximate hours per task.)
1. Translation of correspondence and interpretation of other foreign language information problems at the request of other department or library areas. (Varies)
 2. Search out-of-print dealer catalogs. (Varies)
 3. Handle special bibliographic search and verification projects, for example, non-standard catalogs, special requests from fund managers, gift collections in unusual languages. (Varies)

III. A. What skills, abilities and special knowledge are demanded for the performance of these duties?

1. Reading/writing/translation skills for several languages. The language skills required for any given position are dependent on the mix of language skills currently available among other members of the section. Generally, in addition to English, one or more non-Roman alphabet languages or
(Please see continuation page 4)

B. What equipment must you be able to operate?

1. OCLC terminal and printer.
2. Typewriter and other standard office equipment.
3. Wang wordprocessing equipment.

C. Describe examples of decisions or judgments you must make without consulting others.

The selection of titles to be offered to exchange partners is based on the individual's knowledge of the requirements of the partners' collections. There is an intent to try to offer the best value available in return for materials received.

(please see continuation page 5)

D. Describe the extent to which your work is checked and your activities are supervised.

During the training period, all work is reviewed. After training is completed, unusual problems are solved in consultation with other section staff or with the supervisor. Routine problems are solved independently. Activities are subject to the rules, policies and regulations of the University and the Library.

- Item III,A,cont'd: special area studies languages, and/or one of the major West European language groups are required.
2. Previous library experience in acquisitions or collection development.
 3. Experience with or knowledge of library bibliographic tools, both printed and on-line.
 4. Successful supervisory experience.
 5. Ability to compose letters and respond satisfactorily to requests from exchange partners.
 6. Proven skill in organizing, delegating, and producing substantial amounts of complex and detailed work.
 7. Experience with wordprocessing desirable and useful.

Item III.C. cont'd: In many cases, the materials we receive and the materials we send are not available for purchase through normal channels. The success of acquiring research level materials from some countries depends on the abilities of the individual to provide materials of equal value to the partners in these countries in a timely and responsive fashion.

The prescribed sequence of sources to be checked during the search/verification process is, at best, an extremely general one subject to frequent alterations and additions. For each request, the Acquisitions Assistant for Collection Development must decide which portions of the suggested search sequence are necessary, at which point in the sequence to begin the search so as to verify the order most accurately and expediently, and when the bibliographic resources available have been exhausted, making further effort a waste of time and money. The individual will frequently amend or reevaluate that initial decision based upon findings in each search sequence. For instance, information gained from the OCLC database may enable the Acquisitions Assistant for Collection Development to decide it is unnecessary to search a national bibliography or a publisher's catalog. Previous experience may lead to a decision to pursue an order through a series of non-routine sources or to terminate the process and place the order. When information on price is not available, the Acquisitions Assistant for Collection Development, must estimate and assign a dollar value to the order to be used in fund accounting.

- IV. A. Do the responsibilities of your job call for exercise of authority or supervision over others? Yes Number full-time _____
Number part-time: Hourly/Work-Study 1-2
Total hours worked per week (hourly and Work-Study) _____

Check the phrases descriptive of the kind of supervision you exercise:

- | | |
|--|---|
| ☒ Plan work. | ☒ Recommend hiring and discharging. |
| ☒ Assign work. | ☒ Hire (sign appointment papers). |
| ☒ Check and approve work. | ☒ Responsible for office discipline. |
| ☒ Instruct in methods or procedures. | ☒ Accountability of employee work time. |
| ☒ Recommend promotions & transfers. | ☒ Handle complaints and suggestions. |
| ☒ Recommend pay increases. | ☒ Responsible for errors of employees. |

- B. Do you handle confidential information? Yes If so, what is its nature and what would be the effect of its disclosure?

Student evaluations

- C. Please describe nature and frequency of contacts with individuals and/or groups i.e. general public, students, staff, faculty, University administration, government officials, etc.

On a daily basis, direct personal contact occurs with library fund managers, staff and students from other departments. There is regular, but less predictable, direct contact with teaching faculty and students. The position also requires written and telephone communication with vendors handling purchases for exchange partners and extensive correspondence with staff in exchange institutions.

- D. What would be the consequences of errors made in the performance of your duties?

One of the most serious consequence of error is the deliberate acquisition of an unwanted duplicate for the collections. The library is often required to pay for a title which was ordered through our error. Book monies are limited and individual titles purchased can be expensive. (please see continuation page 6)

- E. Additional employee comments:

Employee Signature: _____

Item IV.D. cont'd: It is often more expensive to try to return an unwanted duplicate overseas than to discard it. One of IU's best overseas vendors estimates that it is cheaper to discard an unexpected duplicate that costs \$30.00 or less than it is to return it. When more than 40,000 book purchase requests are handled by this section each year, it is easy to see how quickly the cost of errors can grow.

Since it is necessary to provide a price estimate when no price information is available, an incorrect estimate can lead to a serious undercommitment or overcommitment of library monographic funds. Accurate estimating assists the fund managers in establishing their annual guidelines for collection development and provides the flexibility to select titles while they are still in print.



University of Georgia Libraries
Athens, Georgia 30602

POSTN #: CLRLI 34
CLASS: Library Assistant III

POSITION: Gift and Exchange Processor

DIVISION/DEPARTMENT: Technical Services/Acquisitions

PURPOSE AND SCOPE:

The Gift and Exchange Processor is responsible to the Coordinator, Monographic Receiving for the work flow including timely processing of gift materials, mailing exchange materials, and processing claims from other libraries for exchange items. Work is performed independently subject to periodic review and may involve exercising some discretion and judgment in performing routine tasks. Some evening work may be required.

DUTIES AND RESPONSIBILITIES:

Process selected gift material, including the set control function on MARVEL.

Receive and acknowledge incoming gift materials and maintain statistical count.

Train and supervise student assistants to assist with gift and exchange items.

Prepare gift materials for review by bibliographers.

Mail exchange materials to other libraries, societies, etc., and process claims for items not received by them.

Maintain collection of agricultural publications for future microfilm project.

Assume other similar duties and responsibilities as assigned.

QUALIFICATIONS:

Ability to perform routine tasks with close attention to detail; Ability to establish and maintain effective working relationships; Accurate typing skills; Knowledge of library techniques in acquisitions and bibliography preferred; Some knowledge of one or more foreign languages preferred; Some knowledge of basic computer technology and its application to library operations preferred; College degree preferred.

Rev. 12-84

Form PC-8 - Job Description
Rev 3-80

COLORADO STATE DEPARTMENT OF PERSONNEL

Department or Institution _____ Position Number _____
Name of Employee _____ Work Telephone Number: _____
Current Class Title LA-IA _____
Location of Work Site: Gifts and Exchanges Section, Acquisitions Dept., Libraries _____
Street Address _____ City or Town _____

List the major duties of the position including time spent for each. Use sufficient detail to describe the work. DO NOT COPY THE CLASS SPECIFICATION.

<u>% Time Spent</u>	<u>Work Performed</u>
40%	Unpacks, sorts, shelves, counts, lists incoming materials; stamps, sorts, counts, packs and prepares outgoing materials for shipping. Assists with gift deliveries and pickups.
25%	Types acknowledgements, letters, gift plates, reports, exchange lists, Packets, etc.
20%	Assists with basic bibliographic searching and verification for Gifts Section, ID Section and Monograph Section. Checks lists from DEU and other agencies in card catalog for holdings at CSU. Assists with checking new gifts in card catalog prior to selection decisions and checks serials in SBC and Bindery records. Assists with order checking and other new title checking in the card catalog. Goes to stacks to compare duplicate copies and to check gaps in serial runs.
15%	Performs general clerical duties: Maintains files in section; filing weeding, updating addresses, etc. Maintains stack area for section and assists with holdings areas in other sections; arranges and shelves materials, dusts shelves, etc. Prepares mailing of exchange publications. Keeps records of reimbursements for postage. Orders and picks up supplies, photocopies, opens mail for section. Keeps statistics. Attends meetings as necessary. Assists with coverage of section and performs other clerical duties as assigned. Maintains file and index of publishers catalogs in Room 100. Helps unpack books for Monograph Section, pull packets, separate packets as needed. Assist with printing of computer forms. Assists with special projects as assigned.

COLORADO STATE DEPARTMENT OF PERSONNEL

Department or Institution

Position Number

Name of Employee

Work Telephone
Number:

Current Class Title

Proposed LA-II, Gifts and Exchanges Section, Acquisitions Dept.

Location of Work Site:

Street Address

City or Town

List the major duties of the position including time spent for each. Use sufficient detail to describe the work. DO NOT COPY THE CLASS SPECIFICATION.

% Time Spent

Work Performed

- | <u>% Time Spent</u> | <u>Work Performed</u> |
|---------------------|--|
| 45% | Responsible for daily operation of Section, serving as ^{initial} liaison with donors, explaining acceptance policies, determining scope and conditions of gifts offered, sorting and referring gifts to appropriate subject librarian for acceptance, noting preservation problems, and referring as needed. Getting forms signed, handling delivery arrangements, and referring major gifts or gifts with special conditions attached to Dept. Head. May do preliminary checking of library holdings to assist with selection decision. Organizes Section files. Oversees acknowledgement of routine gifts, formulating correspondence as necessary. Supervises LA-IA. |
| 15% | Establishes entries and inputs records into RLIN automated Acquisitions Subsystem. Serves as backup for inputting orders during busy periods. |
| 14% | Oversees the disposal of unwanted materials. Includes the organization and maintenance of materials in the storage area; referral of materials to other agencies, preparation of lists of DEU, USBE, RLG and other agencies, packing and shipping of materials. |
| 5% | Sorts and prepares materials for bibliographic searching for ID staff. May also do bibliographic searching as needed. |
| 5% | Oversees mailing of exchanges, handles routine problems with exchanges, checking records, etc. On problems, may compose correspondence for review by Dept. Head. |
| 5% | Does special projects. |
| 3% | Processes orders for USBE material; keeps encumbrances and monitors statements of account before sending to Accounting. |
| 3% | Maintains desiderata files in cooperation with Bindery and Collection Services staff. |
| 3% | Attends meetings as required, including regular meeting with Dept. Head. |
| 1% | Prepares statistics and reports for Section. |
| 1% | Requests routine new gifts and exchanges as approved by Collection Services staff. Assists Dept. Head with special solicitations. |

COLORADO STATE UNIVERSITY LIBRARIES
Fort Collins, Colorado
March, 1983

ANNOUNCEMENT OF VACANCY

- POSITION: Assistant Acquisitions Librarian
- DATE OF VACANCY: July 1, 1983
- DUTIES: Manages gift and exchange activities, including acting as liaison with donors and exchange agencies. Reviews and codifies procedures and prepares statistical analyses and reports, and conducts special projects as assigned. Serves as general assistant and back-up to the Acquisitions Librarian and assists with supervision of support staff in other sections of the department.
- RESPONSIBILITIES: Supervises the Gifts and Exchange Section, including a support staff member. Reports administratively to the Acquisitions Librarian.
- QUALIFICATIONS: A.L.A. - accredited M.L.S.; effective communication and human relation skills; supervisory potential; knowledge of automation procedures in technical services operations, especially in acquisitions and cataloging, desirable.
- TERMS OF APPOINTMENT: Assistant Professor (\$18,700 - 12-month or \$15,600 - 9-month) or Associate Professor (\$22,500 - 12-month or \$18,700 - 9-month); specific rank and entrance salary negotiable depending on experience; 9 or 12-month appointment negotiable; tenure-track.
- BENEFITS: Faculty status, generous sick leave and hospitalization, two days per month vacation; staff travel allowances; opportunities for advanced academic work.
- AFFIRMATIVE ACTION: Colorado State University is an equal opportunity/affirmative action employer and complies with all Federal and Colorado State laws, regulations, and executive orders regarding affirmative action requirements. The Office of Equal Opportunity is located in Room 314, Student Services Building. In order to assist Colorado State University in meeting its affirmative action responsibilities, ethnic minorities, women, and other protected class members are encouraged to apply and to so identify themselves.

SUBMIT RESUME, EVIDENCE OF A.L.A. ACCREDITED MASTER'S DEGREE AND ARRANGE TO HAVE THREE LETTERS OF REFERENCE SENT TO:

Thelma J. Phelps
Assistant to the Director
Colorado State University Libraries
Fort Collins, Colorado 80523
Telephone: (303) 491-5911

INITIAL LETTERS OF INQUIRY MUST BE POSTMARKED BY APRIL 13, 1983.
COMPLETED APPLICATION FORM, RESUME, EVIDENCE OF A.L.A. ACCREDITED MASTER'S DEGREE AND THREE LETTERS OF REFERENCE MUST BE POSTMARKED BY APRIL 27, 1983.

COLUMBIA UNIVERSITY LIBRARY.

Job Analysis Form: Appointed Staff

Please read the entire form before answering any of the questions

1. If additional space is needed to answer a question, please use the reverse side of the paper.
2. After completing this form, submit it to your immediate supervisor. After all the appropriate signatures have been obtained, the form should be submitted to the Assistant University Librarian for Personnel, Room 314 Butler Library.
2. List only activities that are integral to your job function. For example, it would be appropriate for a reference librarian or departmental librarian to list library orientation and instruction since these are functions of such positions. However, voluntary participation in the Library Instruction Program should not be listed; nor should membership on library committees and task forces since these are not job functions unless one serves in an ex officio capacity.

-
- I. POSITION TITLE: Head, Gifts and Exchange Department
and
Head, Southern Asian Section/South Asian Bibliographer
 - II. JOB ID NUMBER:
 - III. CURRENT POSITION CATEGORY OR GRADE: PC I
 - IV. INCUMBENT:
 - V. POSITION FUNCTIONS. Please describe the functions of the position. See attached "Sample Descriptions of Position Functions."
 - A. Head, Gifts and Exchange Department: to administer the activities and staff of the department and to coordinate all functions pertaining to gifts and exchange arrangements within the Libraries.
 - B. Head, Southern Asian Section/South Asian Bibliographer: to supervise the selection and preliminary processing of monographs and serials in South and Southeast Asian languages; to coordinate collection development for Southern Asia with the faculty of the Southern Asian Institute and with other institutions within RIG; to provide reference and instructional services.

VI. CHARACTERISTIC DUTIES. Briefly describe the essential duties in order of their importance. Begin each description with the "ing" form of the verb when possible (e.g., verifying bibliographic data for interlibrary loan; considering materials sent in on approval; original cataloging of monographs for a specific language and/or subject [specify language and/or subject]; etc.). Use sufficient detail to enable others to understand the nature of the duty. For example, do not simply list "answering questions," but indicate the types of questions (i.e., informational, bibliographical, etc.) and their range (i.e., do they require brief consultation, extensive searching in-depth subject or language ability?). Number each duty, listing the most essential as number one.

Percentage of time: Estimate the time normally spent performing the duties on an annual basis (see attached chart).

Head, Gifts and Exchange Department:

% of Time

- | | |
|--|----|
| 1. Managing the G & E Department, including hiring, training, monitoring, and evaluating staff; devising and maintaining efficient procedures. | 10 |
| 2. Participating in the establishment of policies relative to acquisition of materials via gifts and exchanges; implementing the policy with considerable discretionary latitude. This involves tactful negotiations with would-be donors as well as active solicitation of gifts. System-wide responsibility for decisions on acceptance or rejection of specific gifts. | 10 |
| 3. Overseeing the processing of gifts, including a) preliminary screening of gift materials on receipt, to eliminate items not within CUL collection scope; b) offering appropriate items to selection officers, then to exchange partners, then to sale or other disposal; c) routing materials selected for CUL to processing; d) acknowledging, evaluating, and reporting gifts. Assuring maintenance of records of gift materials before permanent bibliographic control is achieved. Supplementing and enhancing Reference and Resource Services by forwarding information about significant acquisitions and Columbia-connected materials. | 5 |
| 4. Promoting system-wide efficiency in exchange procedures and supervising G & E procedures for exchange arrangements throughout the Libraries. Supervising maintenance of exchange records including balances of materials. Overseeing production of lists of materials to be offered on exchange. Coordinating the purchase and distribution of materials to be sent to exchange partners. | 5 |
| 5. Managing the Book Sale Room, pricing and selling duplicates and other unwanted materials. | 3 |
| 6. Participating in maintaining Library accounts; controlling the monies received from book sales (through the Book Sale Room, to dealers, etc.), supervising maintenance of financial records, and the reporting of receipts to the Financial Office. | 3 |

VI. CHARACTERISTIC DUTIES. Briefly describe the essential duties in order of their importance. Begin each description with the "ing" form of the verb when possible (e.g., verifying bibliographic data for interlibrary loan; considering materials sent in on approval; original cataloging of monographs for a specific language and/or subject [specify language and/or subject]; etc.). Use sufficient detail to enable others to understand the nature of the duty. For example, do not simply list "answering questions," but indicate the types of questions (i.e., informational, bibliographical, etc.) and their range (i.e., do they require brief consultation, extensive searching in-depth subject or language ability?). Number each duty, listing the most essential as number one.

Percentage of time: Estimate the time normally spent performing the duties on an annual basis (see attached chart).

	<u>% of Time</u>
7. <u>Consulting with and advising Services staff, faculty, and others about policies and procedures relating to activities performed centrally by the Gifts and Exchange Department.</u>	<u>10</u>
8. <u>Coordinating and arranging for the disposal in the most beneficial way of unwanted materials including gifts and discards from departmental libraries, distinctive collections, and bibliographers.</u>	<u>3</u>
9. <u>Examining out-of-print, replacement, serial, and Columbia University Press orders to determine the feasibility of acquiring materials through gifts or exchanges. Arranging for soliciting such materials through the most beneficial channels.</u>	<u>3</u>
10. <u>Overseeing the recording and submitting for processing all titles received on depository from Columbia University Press and presses distributed by CUP.</u>	<u>3</u>
11. <u>Laying foundations for future gifts; developing communication channels with prospective donors, including publication of a brochure.</u>	<u>5</u>
<u>SUBTOTAL</u>	<u>60%</u>
<u>Southern Asian Bibliographer:</u>	
1. <u>Supervising the selection and preliminary processing of monographs and serials in South and Southeast Asian languages received on the U.S. Library of Congress Special Foreign Currency Program and through special purchase, as well as other material on and about South and Southeast Asia in the major Western languages.</u>	<u>13.33%</u>
2. <u>Coordinating collection development for Southern Asia with the faculty of the Southern Asian Institute and with other institutions within RLG.</u>	<u>13.33%</u>
3. <u>Providing reference and instructional services.</u>	<u>13.33%</u>
<u>SUBTOTAL</u>	<u>40%</u>
<u>TOTAL</u>	<u>100%</u>

II. SUPERVISORY RESPONSIBILITIES:

_____ Check here if this section is not applicable to the position.

We are primarily interested in the extent of the supervisory responsibilities of the position. Many staff have "ART" responsibilities, that is, responsibility for "Assigning," "Revising," and/or "Training" various categories of staff. If you have such responsibilities, they should be noted below by indicating "ART" or a part thereof.

The National Labor Relations Board (NLRB) has ruled that to qualify for a supervisory position an employee must have "hiring and firing" responsibility for three full-time staff members or the equivalent of three staff members. It is important to note that the staff members being supervised must be regular staff and not "casual" employees (i.e., GA's).

We interpret "hiring and firing" responsibilities as those that include administering performance appraisals, initiating disciplinary action, and/or making salary recommendations. (The latter applies only to appointed and SCATS staff since unionized staff are not under a salary merit increase program.)

If this section is applicable, provide the information requested below for all staff members who report directly to you. Abbreviate titles (e.g., "Cat." for Cataloger, "LA IV" for "Library Assistant IV," etc.). If your position has responsibility for several departments or sections, list only the titles, grades, and Job ID Numbers of the positions reporting directly to you. If appropriate, attach an organization chart to clarify reporting relationships.

If you share supervisory or ART responsibilities with other staff member(s), indicate the % of time

Title & Grade	Job ID Number	Incumbent
Gifts and Exchange Staff:		
1. LA V	GIF U-1	
2. TA III	GIF U-3	
3. CA III	GIF U-2	
4. GA/BA (15 hours/wk)	} 23 GA/BA ← {	" "
5. GA (8 hours/wk)		
6. GA (10 hours/wk) 12		
7. GA (10 hours/wk)		
8. GA (4 hours/wk)		
~~9. GA (10 hours/wk)~~		
10. GA (7 hours/wk)		
10. Clerical Assistant I (1/2 time)		

TITLE**INCUMBENT****B. Southern Asian Section Staff:**

1. GA/BA (15 hours/wk)
2. GA/BA (15 hours/wk)
3. GA (7-1/2 hours/wk)
4. GA (7-1/2 hours/wk)

Positions' supplied and supported by either the Southern Asian Institute or East Asian Institute:

5. Southeast Asian Bibliographic Assistant
(15-25 hours/wk)
6. Student Assistant (15 hours/wk)
7. Student Assistant (10 hours/wk)
8. Student Assistant (10 hours/wk)
9. Student Assistant (10 hours/wk)

VIII. FISCAL RESPONSIBILITY. Specify involvement in budget recommendations, allocation of funds, and control of expenditures. For example, do these responsibilities involve controlling funds or accounts, making budgetary recommendations (salaries, books, etc.), allocating funds, and/or administering contract negotiations?

Check here if this section does not apply: _____

A. Gifts and Exchange: Manages the records and accounts of monies received from the sale of 1) unwanted titles, 2) library and other publications, and 3) other funds received by Gifts and Exchange. Total cash income is between \$15,000 and \$20,000; the value of gift/exchange items added to the CUL collections is a much larger figure.

B. Southern Asia: Manages the acquisitions accounts for South and Southeast Asia. Manages funding allocated to the Libraries through the Title VI grant received from the Southern Asian Institute.

IX. CONTACTS REQUIRED. Indicate the principal contacts made in the performance of duties.

For extent of contacts, use "D" (Daily), "F" (Frequently), "S" (Sometimes), "R" (Rarely), "N" (Never):

<u>Extent of</u>	<u>Contacts</u>
<u>D</u>	Other units of the Libraries.
<u>F</u>	University departments and/or offices.
<u>D</u>	Non-university organizations and/or individuals.
<u>D</u>	Students.
<u>D</u>	Faculty.
<u>F</u>	Alumni.
<u>F</u>	Other (specify):

CONT. NEXT PAGE--

IX. CONT.

Other units of the Libraries include (1) other units of the Support Division, (2) Heads of Distinctive Collections and Departments, (3) selection officers, (4) the Shipping Room, and (5) the Financial Services Office.

University departments and/or offices include (1) the Director of Planned Giving in the Office of the Vice President for Development, (2) the Columbia University Press, and (3) the Southern Asian Institute.

Non-university organizations and/or individuals include (1) donors, (2) book dealers, (3) staff of other libraries, (4) the Center for Research Libraries, (5) RLG Headquarters, and (6) salvage and waste removal companies.

Students include (1) patrons of the Book Sale Room and (2) researchers.

Faculty include (1) patrons of the Book Sale Room, (2) donors, and (3) researchers.

Alumni include primarily donors.

Other (specify) include members of the University community (including Administration) and the public.

X. KNOWLEDGE AND SKILLS ESSENTIAL FOR THE POSITION. List only factors essential for the performance of the position. Do not list educational requirements, but rather language, subject, and other skills.

- A. Gifts and Exchange: 1) reading knowledge of at least one language other than English, 2) several years of professional experience, preferably in acquisitions or collection development, 3) supervisory experience, and 4) clear and concise oral and written communication. Also desirable are subject or area expertise, tact, good judgment, and a communications style which facilitates smooth working relations with other relevant units of the Libraries and donors.

B. (See next page)

XI. COMMENTS. If there are additional elements which should be taken into consideration, please use the space provided below.

This position has system-wide responsibility in acquiring appropriate materials for all collections except HSL, Law, and East Asian vernacular by means of gifts and exchange arrangements. The incumbent must relate tactfully to donors in evaluating and accepting or declining gifts, and must be knowledgeable about the possibilities of obtaining desired materials via exchange. The position requires a high level of management skills in controlling the throughput (pickup by van, handling, sorting, offering to selection officers, routing selected materials to processing, disposing of unwanted materials via exchange, book sale, or trash) of gift materials and in establishing and maintaining an effective exchange

(cont. next page)

XII. FORM COMPLETED BY. Please review this form with your immediate supervisor. It should then be signed by your immediate supervisors, up to the level of the Group Directors or Librarians of the Distinctive Collections.

Signature of Staff Member

3/27/84
Date

XIII. REVIEW BY ADMINISTRATIVE OFFICERS:

Comments, if any:

The dual position seemed almost impracticable when first established (June 1983); the Gifts and Exchange aspects alone could have absorbed more than full-time work. As that department has become better organized, the situation has improved, but at best the dual position requires someone with a great deal of well-directed energy.

Signature of Immediate Supervisor

23 March 1984
Date

Comments, if any:

Signature of Division Chief

12 April 1984 (rec'd final draft 4/6/84)
Date

Comments, if any:

Signature of Group Director or

12 April 1984
Date

X. Cont:

- B. Southern Asia: 1) subject or area expertise with an emphasis on South Asia, at the graduate level; 2) reading knowledge of Hindi, Urdu, Bengali, or Sanskrit; and 3) clear and concise written and oral communication.

XI. Cont:

procedure standardized throughout the Libraries. In-depth knowledge of collections and collection policies throughout the Libraries is essential. In terms of policy, frequent discretionary decisions are necessary, along with an ability to justify those decisions to donors, selection officers, et al. Must develop communication channels with prospective donors, including production of a brochure which solicits gifts while making clear that some materials are not acceptable. A long-term responsibility is to lay the foundations for future gifts.

GIFTS AND EXCHANGE SECTION

Principal Administrator: Head, Gifts and Exchange ~~Section~~ ^{Department}

Parent Unit: ~~Acquisitions-Department~~ ^{Support Division}

Role: To provide gift, exchange and other support services.

Objectives

1. Improve the operation of all library units relying on the Gifts and Exchange Section by providing efficient and economic service and by participating in the establishment of policies which further such service.
2. Facilitate the functioning of library units and contribute to sound finances by participating in the maintenance of library accounts.
3. Support the process of collection development through the proper acquisition of materials by gift and exchange, by offering materials to selection officers and by participating in selection.
4. Contribute to bibliographic control over materials by participating in maintaining records before permanent bibliographic control is achieved.
5. Facilitate use of the collections by participating in the physical preparation of materials.
6. Supplement and enhance reference and resource services by providing information about significant acquisitions and Columbia-connected materials.
7. Dispose of unwanted materials in the most beneficial way.

Functions

1. Participate in the budgetary process for the Gifts and Exchange Section.
2. Participate in maintaining library accounts.
3. Perform bibliographic searching not performed elsewhere in order to support the activities of the Gifts and Exchange Section.
4. Examine out-of-print, replacement, serial, and Columbia University Press orders for possible filling through gift or exchange.
5. Decide on the feasibility of acquiring materials through gift or exchange.
6. Acquire certain materials by soliciting them as gifts or by inaugurating exchange arrangements.
7. Acknowledge gifts and exchanges appropriately.
8. Maintain and make accessible records of the acquisitions, processing and payment status of gifts and exchange materials, including records of donors and exchange balances.
9. Provide information pertaining to materials acquired and participate in making them available.

create, maintain, and provide access to the Register of Significant Acquisitions (i.e. Rll file; includes past purchases, as well as gifts), and to the various lists of Columbia-connected publications (e.g. Arden House, Bicentennial, etc.).

11. Be responsible for the storage and maintenance of certain materials and make them available.
12. Actively participate in the solicitation of gifts.
13. Bring gift or exchange materials and information to the attention of the selection officers and participate in the selection of certain materials.
14. Receive, record, and assist in assigning to the Libraries' collections each Columbia University Press Depository publication and other depository materials handled by this Section.
15. Coordinate the purchase and distribution of materials to be sent to exchange partners.
16. Compile and distribute lists of materials available on exchange.
17. Maintain addressograph mailing lists for exchange materials.
18. Coordinate and supervise the disposal of unwanted material in the most beneficial way, including distribution to other libraries.
19. Price and sell duplicates and participate in controlling the monies received from these sales.
20. Act as sales and distribution agent for certain Library and University publications, e.g. Friends of the Columbia Libraries' publications.
21. Consult with and advise staff members in Service units and elsewhere about policies and procedures pertaining to activities performed centrally by the Gifts and Exchange Section.
22. Supervise, organize and maintain the Book Sale Room.
- ~~23. House, maintain and be responsible for the security and proper use of Addressograph equipment and plates and perform centrally Addressograph operations.~~
- ~~24. Supervise loans to reprint publishers and reimbursement for them; participate in establishing policy regarding such loans.~~

Key Working Relationships

1. Selection officers.
2. Other acquisitions units.
3. Columbia Press, etc.
4. Donors.
5. United States Book Exchange, etc.
6. Exchange partners.

Reports

Statistical and evaluative reports as policy requires.

Performance and evaluative criteria

1. Maintenance of good relations with donors.
2. Accuracy of records.
3. Satisfaction of library units relying on the Gifts and Exchange Section.
4. Flow of materials.

Purdue University Libraries

DEED OF GIFT AGREEMENT

I, _____, of _____
(address)

own and now give to the Purdue University Libraries the following property which
was transferred to the Purdue University Libraries on _____;
(date)

It is hereby agreed between the Purdue University Libraries and me that:

- (1) Ownership of the property is irrevocably vested in Purdue University.
- (2) Such literary rights as I now possess in the property described above are also irrevocably vested in Purdue University. If the donor does not possess complete literary rights, outstanding literary rights vested in others are as follows: _____
- (3) The property described above shall be available to qualified persons for research use commencing _____.
(date)
- (4) With the permission of the Director of Libraries duplicate copies of the material described above may be made from the originals for the purpose of interlibrary loan and for reference deposit at other research centers. All duplicate copies will be subject to the same terms set out in this Agreement.
- (5) Donor represents and warrants to donee that donor is the absolute owner of the property described above, that said property is free and clear of all liens, charges and encumbrances, and that donor has full right, power and authority to give said property to donee and to make this Deed of Gift Agreement.

In full accord with the provisions of this Deed of Gift, I hereunto set my hand.

Donor _____ (date)

Purdue University, by its duly authorized agent, hereby accepts the gift described above.

Director of Libraries _____ (date)

Memorandum of Agreement

-between-

-and-

The University Libraries, State University of New York at Albany

(Description of collection)

(Property rights: "Property rights (ownership and legal title) to this Collection are to be transferred to the University Libraries as of the date of transfer of the actual materials to the University Libraries.")

(Copyright and publication rights: as negotiated)

"This Collection will be used as deemed appropriate by the University Libraries as part of its collections and services in support of the instructional and research programs of the University at Albany. It is understood that there are to be no restrictions on access to these materials."

(Any further negotiated particulars, such as transport agreements)

Dated on this _____ day of _____, 19__.

Signature: _____
(donor's name typed here)

Address: _____

Title: _____

NOTARY PUBLIC

STATE OF: _____

Commission No. _____

Comm. Exp. Date: _____

Signature: _____ Date: _____
(director's name typed here)Title: Director of University Libraries

NOTARY PUBLIC

STATE OF: _____

Commission No. _____

Comm. Exp. Date: _____



sterling c. evans library

texas a&m university
college station, texas 77843
713-845-8111

GIFT INFORMATION

FOR PROSPECTIVE DONORS

Collection development in any library depends on the thoughtful acquisition of materials and also on gifts of books, periodicals, other library materials, and money. The Sterling C. Evans Library of Texas A&M University welcomes such gifts providing they support the teaching, research and other needs of the University. Gifts of materials other than those mentioned above will be considered on an individual basis.

It is understood, that, upon receipt, gifts become the possession of the Library. As owner, the Library has the right to determine retention, location and all other considerations relating to use or disposition.

Appraisal of a gift to the Library for tax purposes generally is the responsibility of the donor since it is the donor who benefits from the tax deduction. To protect both its donors and itself, the Library as an interested party ordinarily does not appraise gifts made to it. Generally, the Library will assist the donor with regard to sources of information such as auction records, dealers' catalogs and other price lists or appropriate professional appraisers who might be consulted for this information. The acceptance of a gift that has been appraised by a third and disinterested party does not in any way imply an endorsement of the appraisal by the Library. The Library does not ordinarily provide lists of materials which have been donated.

Texas A & M University
Sterling C. Evans Library

I/We, the undersigned, donate the materials briefly described below with full understanding of the conditons outlined in GIFT INFORMATION FOR PROSPECTIVE DONORS.

(Signature/Date)

As designated representative of the Library I acknowledge receipt of the materials described above.

(Signature/Date)



Gift Information for Prospective Donors

The General Libraries
The University of Texas at Austin

The General Libraries actively seeks and welcomes gifts of books or other library materials or money to support its programs.

All gifts are accepted subject to the approval of the Board of Regents. Donors should be aware that all gifts are accepted with the understanding that upon receipt the University becomes the owner of the material and, as such, reserves the right to determine retention, location, cataloging treatment, and other considerations relating to use or disposition.

The appraisal of a gift to the Library for income tax purposes is the responsibility of the donor since it is the donor, not the Library, who benefits from the tax deduction. To protect both its donors and itself, the Library, as an interested party, must not appraise gifts made to it. The Library will provide assistance as to sources of information for evaluation purposes and will suggest appropriate professional appraisers who might be consulted. Because of tax considerations, donors may wish to discuss prospective donations and appraisals with their attorneys.

Appropriate acknowledgement of all gifts is made by the Library, and for permanent identification of the gift, the donor's name appears on the book plate of each volume added. This is especially well suited to memorial gifts and endowments.

Questions on gifts should be directed to the Assistant Director for Collection Development, The General Libraries, P. O. Box P, The University of Texas at Austin, Austin, Texas 78713. Telephone (512) 471-3811.

GIFT-IN-KIND CHECKLIST

Please submit this form to Librarian's Office within one week of initial contact with donor

I. Donor Information

Full legal name _____

Address _____ Telephone _____

Date of first contact with donor _____

Is donor sole owner of the property? YES NO

Did donor create gift? (author, compiler of files, etc.) YES NO

Is gift related to an estate? YES NO

Formal name of estate _____

Individual to whom acknowledgment should be addressed

Address, if different from above _____

Is estate still in probate? YES NO

II. Appraisal Information

Have tax considerations and appraisal needs been discussed with donor?

YES NO

What help can be/has been (please indicate which) offered donor in establishing the value of the gift?

____ a. Referral of donor to IRS Publication #561 (latest edition)

____ b. Formal appraisal--Appraisers suggested (at least 3)

- ____ c. Auction Catalogs suggested: Does Auction House have a Reserve Policy?
- | | | |
|-------|-----|----|
| _____ | YES | NO |
| _____ | YES | NO |
| _____ | YES | NO |
- ____ d. Buy-sell value suggested (see IRS Pub. 561
(Dealers to be selected on random basis by donor)

III. Processing and Other Considerations

Has donor suggested any stipulations or restrictions? YES NO

If so, to whom has this question been referred?

(Name)

(Title)

Has donor indicated a desire for part of gift to be returned, or to maintain title to any portion of gift? YES NO

Date of receipt of material on campus _____

Has all material been forwarded through regular library processing?

YES NO

If no, what has not been forwarded?

Is inventory attached to this form? YES NO

Report submitted by

University of Southern California

To be used for less than
25 routine items

Please submit to Librarian's
Office within one week of
initial contact with donor

GIFT-IN-KIND CHECKLIST

(short form)
FOR ON CAMPUS DONORS ONLY

I. Donor Information

Full name _____

Home address _____ Telephone _____

II. Processing Information

Date gift received _____ YES NO

Did donor submit list? _____

Was copy forwarded with material? _____

Was all material forwarded for processing? _____

If not, what has not been forwarded?

Report submitted by

Library

The following are results of an unpublished survey conducted April-June 1983 by Leona Wise at the University of Southern California. Surveys were mailed to 45 members of the RTSD/RS Gifts & Exchange discussion group. There were 27 responses.

QUESTIONS CONCERNING THE QUALIFICATIONS WHICH MAY BE DESIRABLE OR NECESSARY FOR GIFT AND EXCHANGE LIBRARIANS:

1. In your library, is the gift and exchange position considered a "beginning position"?

5 "beginning position" 14 experience needed

2. Do you believe it should be considered a "beginning position"?

6 yes 15 no

3. In your library, is the gift and exchange position one which requires some years of experience at the same institution or is library experience elsewhere equally acceptable?

14 other experience acceptable

3 experience at the same institution needed

5 not specified or varies

4. Do you believe that experience at the same institution is :

2 practically a necessity

18 useful but not highly important

(Is your library: 13 publically supported

7 at a private institution)

5. Is a degree other than or in addition to the MLS required or preferred?

1 required

8 preferred

6. Does one need a knowledge of generally accepted business practices as well as rudimentary information concerning tax regulations and other legal matters?

11 Yes 5 No 9 Useful but infrequently needed

7. Are the gift and exchange duties combined with another responsibility?

23 Yes 3 No

What other responsibility? 10 collection development

12 acquisitions work

1 reference

another area: PRESERVATION, SHIPPING ROOM

COMMENTS ARE ENCOURAGED ON THE REVERSE.

OVER, PLEASE

8. Does the gift and exchange librarian need/^{to}function with considerable independence?

15 considerable autonomy

3 nearly total autonomy

4 considerable supervision or many written policies

9. Is the active solicitation and acquisition of gifts and free materials part of the duties of the position?

7 Yes

12 No

AT LAST! COMMENTS:

BRIEF BIBLIOGRAPHY

1. Determining the Value of Donated Property. Internal Revenue Service Publication, 561. Revised November, 1984.
2. Noncash Charitable Contributions Appraisal Summary, Form 8283. Internal Revenue Service. February, 1985.
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6. Reid, Marion. "The Gifts and Exchange Operations: Considerations for Review." RTSD Newsletter, 10:3, p. 21-24.
7. Tax Reform Act of 1984 (PL98-369).